

# CLEAN WATER

## State Revolving Fund

### **Intended Use Plan and Project Priority Lists for Federal Fiscal Year 2024**

Oct. 1, 2023 through Sept. 30, 2024

**Approved by the Missouri Clean Water Commission – Oct. 11, 2023**





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Cover photo: Clockwise from left to right – Metropolitan St. Louis Sewer District’s Deer Creek Sanitary Tunnel under construction, fiberglass reinforced polymer pipe ready for installation into the tunnel, and surface area restored after land disturbance at construction site.

Photo by: Conrad (Joe) Blume, Department of Natural Resources

# Missouri Clean Water State Revolving Fund Program

The Missouri Department of Natural Resources administers the Clean Water State Revolving Fund (CWSRF). As a condition of a federal agreement with the U.S. Environmental Protection Agency (EPA), the Department must submit an annual plan for the use of federal funds awarded and a strategy for managing the program in accordance with the Clean Water Act Section 606. This CWSRF Intended Use Plan (IUP) is the annual plan for Federal Fiscal Year (FFY) 2024.

Missouri applies to the EPA annually for a base capitalization grant to fund its CWSRF program. These funds, combined with the required state match and interest earnings, are available to Missouri communities in the form of low-interest loans. As the loans are repaid, the money is reused, or revolved, by the program to provide for future projects.

The Bipartisan Infrastructure Law (BIL), also referred to as the Infrastructure Investment and Jobs Act, was signed into law on November 15, 2021. From FFY 2022 through FFY 2026, the BIL invests more than \$50 billion in EPA water infrastructure programs including the State Revolving Fund (SRF). The BIL reauthorized the annual CWSRF capitalization grant allotments and expanded the CWSRF program with two additional, temporary sources of funding: CWSRF BIL general supplemental funding for all CWSRF eligibilities and CWSRF BIL emerging contaminants funding with a focus on per- and polyfluoroalkyl substances (PFAS). Missouri will apply to the EPA annually through FFY 2026 for these capitalization grants.

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*Since 1989, the CWSRF has committed approximately **\$3.2 billion** in below-market rate loans and approximately **\$111.1 million** in grants to meet Missouri's wastewater infrastructure needs, saving 721 Missouri cities, counties, sewer districts, and others more than **\$1.1 billion**. Approximately **\$22.5 million** has been obligated to nonpoint source projects through the CWSRF since 1989. Farmers, livestock producers, watershed organizations, cities, rural homeowners, and others have benefited from these loans and grants.*

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The CWSRF loan program was established by the 1987 Clean Water Act amendments to provide a renewable financing source for wastewater infrastructure and nonpoint source pollution control to protect waters of the state. Operation and management of Missouri's CWSRF program is directed by regulations 10 CSR 20-4.040, 10 CSR 20-4.041, and 10 CSR 20-4.050 at <http://s1.sos.mo.gov/cmsimages/adrules/csr/current/10csr/10c20-4.pdf>.

The BIL amends the Clean Water Act to include provisions applicable to the base CWSRF program and unless otherwise directed, applicable to projects funded in whole or in part with funds made available by BIL.

The CWSRF is managed by the Department and the Environmental Improvement and Energy Resources Authority (EIERA). The Department, with oversight from the Clean Water Commission, is responsible for programmatic functions, including processing applications, priority scoring, IUP preparation, environmental review, permitting, reporting, and financial assistance disbursement and repayment processing. EIERA issues bonds, manages related tax issues, and monitors post-issuance compliance. The Department and EIERA work together to maximize the amount of construction that can be supported by the program, and reserve the right to refinance, assign, pledge, or leverage any loans originated through the CWSRF program.

The Department continually refines the CWSRF program to ensure it offers affordable financing to meet today’s high priority water quality improvement needs and provides a stable source of funding for clean water infrastructure projects well into the future. This IUP summarizes the development and management of the state’s CWSRF Project Priority Lists and assurances required by federal mandates. It also details the proposed distribution of Missouri’s anticipated CWSRF capitalization grants, state match funds, the repayments of previously awarded loans, and the interest earnings from the repayment account deposits for FFY 2024.

## CWSRF Funding At-A-Glance

This table summarizes the funding opportunities for FFY 2024, but is not an all-encompassing description of criteria for each. Additional details are contained in subsequent sections of this document.

| <b>Funding Opportunity</b>                           | <b>Eligible Population</b>          | <b>Funding Type</b>  | <b>Funding Availability</b>  | <b>Application Link</b>                | <b>Application Deadline</b>   |
|--|-------------------------------------|--|--|--|---|
| <b>CWSRF Loan Only</b>                               | Political subdivisions of the state | Low-interest loan  | Competitively scored based on SRF priority point criteria, with funds usually available for all projects                   | <a href="#">CWSRF Loan Application</a> | March 1 for first preference, but applications are accepted anytime |
| <b>CWSRF Loan with Equivalency Grant</b>             | Political subdivisions of the state | Low-interest loan with partial grant – may not exceed \$2,079,500  | Eligibility based on Department designation as equivalency, then competitively scored based on SRF priority point criteria | <a href="#">CWSRF Loan Application</a> | March 1*  |
| <b>CWSRF Loan with Affordability Grant</b>           | Political subdivisions of the state | Low-interest loan with partial grant - up to \$2 million, may not exceed 55 percent of the project funding request | Eligibility established with a scoring matrix, then competitively scored based on SRF priority point criteria              | <a href="#">CWSRF Loan Application</a> | March 1*  |
| <b>CWSRF Loan with Water Quality Incentive Grant</b> | Political subdivisions of the state | Low-interest loan with partial grant - amounts vary, may not exceed 55 percent of the project funding request      | Eligibility established with qualified component, then competitively scored based on SRF priority point criteria           | <a href="#">CWSRF Loan Application</a> | March 1*  |
| <b>CWSRF BIL Emerging Contaminants Grant</b>         | Political subdivisions of the state | 100 percent grant to address emerging contaminants in wastewater systems   | Competitively scored based on Emerging Contaminants Grant criteria   | <a href="#">CWSRF Loan Application</a> | March 1   |

| <b>Funding Opportunity</b>                    | <b>Eligible Population</b>                                     | <b>Funding Type</b>  | <b>Funding Availability</b>  | <b>Application Link</b>   | <b>Application Deadline</b> |
|---|--|--|--|---|-----------------------------|
| <b>CWSRF Regionalization Incentive Grant</b>  | Political subdivisions of the state                            | 100 percent grant to a municipality to connect certain wastewater facilities               | Competitively scored based on Regionalization Incentive Grant criteria | <a href="#">CWSRF Regionalization Incentive Grant Application</a> | March 1                     |
| <b>CWSRF Integrated Management Plan Grant</b> | Political subdivisions of the state serving 20,000 or less     | Grant up to \$80,000 with 20 percent match or max of \$100,000 for certain applicants      | First-come, first-served as long as funds are available                | <a href="#">Integrated Management Plan Grant Application</a>      | March 1                     |
| <b>Clean Water Engineering Report Grant</b>   | Political subdivisions of the state serving 10,000 or less     | Grant up to \$50,000 with 20 percent match or max of \$62,500 for disadvantaged applicants | First-come, first-served as long as funds are available                | <a href="#">Clean Water Engineering Report Grant Application</a>  | Anytime                     |
| <b>CWSRF Technical Assistance Grant</b>       | Non-profit or state, regional, interstate, or municipal entity | Grant  | Competitively scored based on Request for Proposal criteria            | Request for Proposal solicitation                                 | Closed at this time         |
| <b>CWSRF Onsite Wastewater System Grant</b>   | Qualified non-profit corporations                              | Grant  | Competitively scored based on Onsite Wastewater System Grant criteria  | Request for Proposal solicitation                                 | Closed at this time         |

\* In order to be eligible for grant allocation, the applicant must submit a project application accompanied by a complete facility plan and documentation of the applicant's debt security instrument by the application deadline.

## Federal Fiscal Year 2024 CWSRF Program Goals

Each year, the Department evaluates the operations and the financial structures of the CWSRF to gauge program effectiveness and to improve program services and investment returns. The Department develops both long-term and short-term goals to continually improve the program.

### Long-term goals:

- Provide assistance to water quality improvement actions that help fulfill the objectives of the Clean Water Act.
- Maintain a self-sustaining revolving CWSRF to provide eligible applicants with affordable financial assistance for clean water infrastructure projects.
  - Ensure the use of accounting, audit, and fiscal procedures that conform to generally accepted accounting principles.
  - Ensure the financial stability of loan recipients by reviewing the financial history, loan security, and proposed user rates of loan applicants.



- Provide assistance to projects that increase the long-term sustainability of wastewater treatment systems, and incentivize projects that consolidate, interconnect, or regionalize wastewater treatment.
- Provide assistance to projects which will help address the issues (e.g., harmful algal blooms) caused by excessive nutrient loading of streams, rivers, and lakes.
- Provide assistance for projects that will address emerging contaminants, which includes partnering with other programs and organizations to assist in addressing challenges.
- Provide assistance for technically appropriate and financially sustainable projects, especially for communities considered disadvantaged, facing affordability concerns, or addressing environmental justice.
- Manage projects and work efficiently with participants to ensure projects proceed toward a binding commitment in a timely manner.
- Remain flexible in the implementation of BIL funding to address a wide variety of local water quality and public health challenges.
- Promote nontraditional projects by partnering with other programs and organizations to assist communities in addressing stormwater and nonpoint source challenges.

### **Short-term goals:**

- Ensure that all grant awards are appropriately expended in an expeditious and timely manner.
- Update the State Revolving Fund System to ensure effective and efficient project, fund, and program management.
- Expand and broaden our community outreach activities to ensure political subdivisions of the state are aware of and understand CWSRF assistance options and the loan application process.
- Partner with a non-profit entity that provides direct technical assistance to publicly owned wastewater treatment works.
- Manage a program that provides applicants with a streamlined approach to financing clean water infrastructure projects.
- Continue to look for ways to increase investment in disadvantaged communities through the state's affordability criteria.
- Pilot an onsite wastewater treatment system grant program for qualified non-profit corporations to administer.

## **Federal Fiscal Year 2024 CWSRF Available Funding**

During FFY 2024, the CWSRF program expects to have approximately \$443 million available for new CWSRF projects. This includes carryover monies from previous years, loan repayments, interest earnings on investments of CWSRF resources, federal capitalization grants, and state match. This amount is based on anticipated loan repayments and the state's estimated allocation from the FFY 2023 CWSRF base, general supplemental, and emerging contaminants capitalization grants. Project Lists are in Appendix 1.

Through the BIL, the Department has the capability to target its resources to address affordability concerns and disadvantaged communities, provide technical assistance funds to help publicly

owned treatment works, and prioritize investments to local communities who are on the frontlines of emerging contamination and who have few options to finance solutions through traditional programs.

All provisions promulgated through statute, guidance, or regulations issued by EPA for implementation of the programs remain in effect. The BIL appropriations are federal funds, and therefore, all equivalency requirements apply.

## **Deadline, Eligibility, Terms, Prioritization, Listing Process**

### **Eligible project types**

CWSRF program dollars typically help municipalities build or improve wastewater treatment plants. However, nonpoint source pollution control projects may also be funded through the CWSRF. These types of projects include urban runoff, wet weather flow, stormwater, sewer overflows, water reuse and conservation, and alternative treatment projects.

Wastewater projects may include the following:

- New treatment plants
- Treatment plant improvements and upgrades
- Acquisition of an existing wastewater treatment plant
- Sewer rehabilitation
- Sewer line extensions associated with regionalization projects
- Treatment plant decommissioning actions associated with plant replacement or regionalization projects
- Sewer line extensions to existing unsewered properties
- Combined sewer overflow and sanitary sewer overflow corrections
- Projects for reusing or recycling wastewater
- System security, efficiency, and conservation measures
- Projects addressing emerging contaminants

Nonpoint source pollution control projects may include the following:

- Measures to manage, reduce, treat, reuse, or recapture stormwater or subsurface drainage water
- Wetland protection and restoration measures
- Decentralized wastewater treatment systems
- Source water protection measures

State regulations describe eligible and ineligible expenses. Examples of eligible costs include engineering costs for planning and design, land if needed for the project, legal costs, and construction costs. A full list is available in 10 CSR 20-4.040 at <http://s1.sos.mo.gov/cmsimages/adrules/csr/current/10csr/10c20-4.pdf>.

### **Eligible loan applicants**

- Municipalities, counties, public sewer or water districts, political subdivisions, or instrumentalities of the state are eligible for wastewater and nonpoint source pollution control project loans.



- Privately-owned and nonprofit facilities may be eligible to apply for nonpoint source pollution control loans.

All eligible applicants must demonstrate financial, legal, technical, and managerial capability to enter into a binding financial commitment.

## **Terms of financial assistance**

The CWSRF offers a fixed-rate loan with a subsidized target interest rate of 70 percent below the market rate published the week prior to loan closing. The market interest rate is based on The Bond Buyer's 25-Revenue Bond Index, which provides an estimate of the yield on a 30-year revenue bond offered under current market conditions (comparable to an AAA-rated municipal market rate). Loan proceeds must be expended within 36 months of the loan closing.

The standard loan term is 20 years. However, terms of up to 30 years, not to exceed the useful life of the project, are available with up to an additional 0.25 percent interest added to the target interest rate. Applicants with significant existing debt may request to delay the repayment of new debt around the existing debt service, with a customized loan repayment structure, not to exceed the 20- or 30-year loan term.

The Department charges an annual fee of up to 0.5 percent of the outstanding loan balance. The fee is used to administer the CWSRF program and to fund other Department water quality activities in accordance with federal regulations.

The CWSRF program makes loans that are evidenced and secured by a borrower's debt obligation. Thus, each applicant must demonstrate it has secured proper authorization with a dedicated repayment source in order to provide the appropriate loan security. The debt instrument is ordinarily a Revenue Bond or a General Obligation Bond, but a Special Obligation Bond may be accepted in certain circumstances. Each borrower must be represented by a Nationally Recognized Bond Counsel, which is an attorney or firm of attorneys with a national reputation for rendering opinions in connection with the issuance of municipal obligations and the tax-exempt status under federal law of interest on such obligations.

The Department may make available CWSRF additional subsidization in the form of a grant, typically available in conjunction with a loan for certain eligible projects, or principal forgiveness in accordance with current federal appropriations. See the Additional Subsidization Section for more information.

## **Distribution of funds**

Each year, the Department reserves a certain percentage of available funding according to community size and project type categories to ensure an equitable distribution of funds. Funds set aside for these reserves are based on a percentage of the anticipated available funds, the number of applicants ready to proceed, and Department priorities.

The Department's planned allocation to reserve categories is as shown below:

- 40 percent to Small and Non-Metropolitan Areas and Districts (systems serving fewer than 75,000 people)
- 30 percent to Large Metropolitan Areas and Districts (systems serving 75,000 or more people)
- 15 percent to address Combined Sewer Overflow projects

- 15 percent to Green Project Reserve and Department Initiatives

The Department allocates available funds first to Fundable List projects carried over from the previous fiscal year. Next, available funds are allocated to new applicant projects. Finally, any uncommitted funds from a specific group may be distributed to fund projects in other groups that are ready to proceed. Additional information is in Appendix 1.

## Project prioritization

The CWSRF Priority Points Criteria are the basis for project ranking and funding allocation. The criteria include human health protection as well as compliance with the Clean Water Act, Missouri Water Quality Standards and Antidegradation Policy, and Missouri's Nonpoint Source Management Program. The complete list of each criterion and associated point value is available in Appendix 5.

## Intended Use Plan listing process

The Department reviews project applications for CWSRF eligibility and assigns priority points based on the CWSRF Priority Points Criteria. Next, the Department places eligible projects on the CWSRF Project Priority Lists and ranks projects by priority point score within each funding category.

The CWSRF Project Priority Lists contains the following categories:

- **Fundable List:** This list includes projects that meet the readiness-to-proceed criteria, which are those applicants that have submitted a complete facility plan and documentation that the applicant has an acceptable debt instrument and any necessary funding commitments from other state and/or federal agencies contributing funds to the project.

In the event the applicant submits an application but requires further voter authorization of the acceptable debt instrument and has taken all necessary steps to include a proposition for such debt instrument on the ballot for the April election for the current IUP year, then, following voter approval, the Department may consider allocating additional subsidization to the applicant if the facility plan is acceptable and sufficient additional subsidization funds are available after allocating additional subsidization to all applicants that met the readiness-to-proceed criteria by March 1. The Department will schedule these projects for financial assistance during the current fiscal year, and allocate available loan and additional subsidization funds.

The Fundable Projects List includes four types of projects:

- Small and Non-Metropolitan Areas and Districts
- Large Metropolitan Areas and Districts
- Combined Sewer Overflow
- Department Initiatives
- **Fundable Contingency List:** This list includes projects that meet the readiness-to-proceed criteria; however, sufficient SRF funding is unavailable or the project is not expected to need funds in the current fiscal year. These projects may receive assistance if funds become available during the fiscal year. This list also includes CWSRF Regionalization Incentive Grant projects that have a complete facility plan but have not yet entered into formal service agreement(s) with the connecting entity(ies). The Regionalization Incentive Grant applicant will have one year on the Fundable Contingency List to reach an agreement.

- **Contingency List:** This list includes projects that have an approvable facility plan but do not have an acceptable debt instrument in place. The Department works with these communities to assist them in meeting readiness-to-proceed criteria. Once the criteria are met, the project may be moved to the Fundable List if funds are available.
- **Planning List:** This list includes projects for which the Department has received an application but is awaiting a complete facility plan and/or acceptable debt instrument. The Department works with these communities to assist them in meeting readiness-to-proceed criteria. Once one or both of the criteria are met, the project may be moved to the Contingency, Fundable Contingency, or Fundable List, whichever is appropriate.

The Department compiles and lists the project applications received by March 1 of each year and presents the recommended IUP to the Commission for approval. The Department continues to accept and review applications received after March 1 and may propose amendments to the IUP for Commission approval, provided funding is available.

## Modifications to Project Priority Lists

After the Missouri Clean Water Commission adopts this IUP's CWSRF Project Priority Lists, it may modify the lists or redistribute the available funds in accordance with 10 CSR 20-4.040 by IUP amendment unless specifically stated below. Before taking action to modify the Project Priority Lists, the Department will notify those applicants directly affected.

- **Inadequate allocations:** If federal CWSRF allocations are less than the amount anticipated, or if previous allocations are reduced, the Department may recommend reducing project commitments.
- **Unanticipated or uncommitted funds:** The availability of unanticipated funds (due to prepayments or bypassed projects) or uncommitted funds can result in a project moving from the Fundable Contingency List to the Fundable List. Further, the amount of funds allocated to projects on the Fundable Lists may be increased, or projects that have already received assistance may receive increased assistance.
- **Bypass:** The Department may recommend the Commission remove a project from the Fundable List when it is not making timely progress, in order to make the committed funds available to another project that is ready to proceed. The Commission may move projects from the Fundable List to the Fundable Contingency, Contingency, or Planning Lists. Bypass procedures are outlined in 10 CSR 20-4.040(29)(C). In addition, the Department will give priority to projects that would alleviate an emergency situation that poses a threat to environmental or public health. These projects will be permitted to be added to the Fundable List without scoring if approved by the Commission and may be funded in advance of the projects on the Fundable List.
- **Project removal:** Projects may be removed from the Project Priority Lists at the request of the applicant or if the Department finds that the project is ineligible for CWSRF assistance.
- **High bids:** The Commission, with its approval of this IUP and any subsequent amendments, grants the Department authority to approve changes in project construction costs without an official IUP amendment. Applicants have a limited amount of time to enter into a contract

once bids have been received and opened. Granting the Department authority to approve the higher costs will ensure that the applicant does not incur additional costs associated with re-soliciting bids. For changes of less than 10 percent of the original project costs, the Department will provide no notification to the Commission. For changes of 10 percent or greater than the original project costs, the Department will provide the Commission with a description of the change to the final funding amount during the next scheduled commission meeting.

The Department will inform the applicant within 10-30 days if the Department can commit additional CWSRF funds to the previously approved project. In all cases, the Department will only commit to an increase in funding if the following criteria are met:

- CWSRF funds are available,
- The cost increase is not due to a change in the project scope, and
- For loans, the borrower has adequate bonding capacity.

## **Additional subsidization**

The Clean Water Act allows the state to provide additional subsidization in the form of grants, principal forgiveness, or negative interest loans from its annual capitalization grant awards. The Department will determine the amount of capitalization grant to be allocated for additional subsidization each year based on federal appropriation and Missouri's CWSRF program needs. Only political subdivisions (including counties, incorporated cities and towns, regional water or sewer districts) may receive additional subsidization. See Appendix 1 for the FFY 2024 additional subsidization funding allocations.

- **CWSRF BIL Emerging Contaminants Grants** are available to eligible projects that will address emerging contaminants, with a focus on per- and polyfluoroalkyl substances (PFAS). The program intends to reduce exposure to these substances and other emerging contaminants by helping to address discharges from wastewater, stormwater, and/or potentially nonpoint sources. The Department will offer 100 percent additional subsidization in the form of grant to eligible applicants provided funds are available. The SRF priority point scoring will be used to determine the order of projects funded. Eligible applicants are those that meet the readiness-to-proceed and emerging contaminants criteria. Recipients will be required to meet all equivalency requirements. A full list of emerging contaminants may be found at [https://www.epa.gov/system/files/documents/2022-03/combined\\_srf-implementation-memo\\_final\\_03.2022.pdf](https://www.epa.gov/system/files/documents/2022-03/combined_srf-implementation-memo_final_03.2022.pdf) (see Attachment 1 – Appendix B).
- **Clean Water Engineering Report Grants** are available for municipalities, counties, public sewer or water districts, political subdivisions, or instrumentalities of the state with a population equal to or fewer than 10,000 for engineering costs to prepare a facility plan or engineering report per 10 CSR 20-8.110. These funds can pay for a facility plan for wastewater treatment and/or engineering report for collection system improvements related to (1) new permit requirements; (2) inflow and infiltration; (3) improvements to eliminate wet weather discharges from a peak flow clarifier and/or basin(s); (4) capacity and hydraulic improvements at the wastewater treatment plant to address a reasonably anticipated increase in users or connections (rather than for excessive inflow and infiltration or speculative growth); and/or (5) improvements to wastewater treatment and/or collection systems that have reached or exceeded their useful life expectancy. Eligible applicants may receive an 80 percent grant with a 20 percent recipient match, for a maximum grant of \$50,000. Eligible

applicants qualifying as disadvantaged may receive a 100 percent grant and a maximum grant amount of \$62,500. Eligible applicants can submit an application to the Department at any time. The application is available online at <https://dnr.mo.gov/document-search/clean-water-engineering-report-grant-application-mo-780-2217>. More information about eligibility is available in Appendix 7.

- **CWSRF Integrated Management Plan Grants** are available for municipalities, counties, public sewer or water districts, political subdivisions, or instrumentalities of the state that (1) operate a permitted wastewater treatment facility serving a population of less than 20,000 and (2) own/operate a permitted Municipal Separate Storm Sewer System (MS4), as defined in 10 CSR 20-6.200, or has significant stormwater challenges (unrelated to inflow and infiltration) that require capital planning. If the community has a public drinking water system, this utility may be included in the development of the integrated management plan. These funds can assist small communities with engineering costs incurred to develop an integrated management plan that maximizes the effectiveness of its available funds through analysis of alternatives and the sequencing of actions necessary to address Clean Water Act requirements, human health, and water quality related challenges. Eligible applicants may receive an 80 percent grant with a 20 percent recipient match, for a maximum grant of \$80,000. Eligible applicants meeting affordability criteria may receive a 100 percent grant and a maximum grant amount of \$100,000. Eligible applicants are those that submit an Integrated Management Plan Grant application to the Department by the March 1 deadline. The application is available online at <https://dnr.mo.gov/document-search/clean-water-integrated-management-plan-grant-application-mo-780-2956>. More information about eligibility is available in Appendix 8.
- **CWSRF Regionalization Incentive Grants** are available to municipalities for development of sewer extension facility plans and/or construction projects. The program is intended to incentivize connections that might not be made without full grant funding and to reduce the number of small, struggling facilities through regionalization. The Department evaluates projects through a competitive application cycle, and offers funds as established by the grant guidance. Eligible applicants are those that meet the criteria established in the Department's guidance (see Appendix 9) and submit an application by the March 1 deadline. Application and instructions are available at <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-regionalization-incentive-grant-application-mo-780-2881>.
- **CWSRF Onsite Wastewater Treatment System Grants** are available to eligible non-profit applicants to offer a pass-through grant program(s) to homeowners through a competitive Request for Proposal. The program will offer funding for (1) repair or replacement of failing or poorly functioning onsite wastewater systems serving private (non-commercial), single-family homes or (2) connection of a private (non-commercial), single-family home to a larger decentralized or centralized wastewater treatment system, in areas with identified water quality concerns related to nutrients. The Department will evaluate proposals through a pilot competitive application cycle and offer funds as established by the grant guidance. Eligible applicants are those that met the criteria established in the Department's guidance. Application, eligibility criteria, and instructions are available on the Department's website at <https://dnr.mo.gov/water/what-were-doing/financial-assistance-opportunities/clean-water-state-revolving-fund-cwsrf-site-wastewater-treatment-system-grant>.



The following grants are available in combination with a CWSRF loan.

- **CWSRF Equivalency Grants** for wastewater treatment facility construction are available, in coordination with loans, to applicants whose project the Department designates as equivalency from the base capitalization grant. Projects identified as equivalency will be required to demonstrate compliance with various federal laws, regulations, and executive orders relating to architectural and engineering (“A/E” procurement), surveillance services and equipment procurement, federal cross-cutting authorities, National Environmental Protection Act environmental review, disadvantaged business enterprises, and the Single Audit Act, as applicable. The CWSRF equivalency grant is not available in combination with a CWSRF affordability grant or CWSRF water quality incentive grant. The total amount available as additional subsidization will not exceed \$2,079,500 per applicant for FFY 2024. Applicants must submit a CWSRF application by the March 1 deadline. The CWSRF Loan Application form and instructions are available at <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-loan-application-mo-780-1951>. Additional application instructions are described in Appendix 2.
- **CWSRF Affordability Grants** for wastewater and stormwater construction are available, in coordination with loans, to applicants who would have difficulty financing infrastructure improvements without additional subsidization. The Department will obligate affordability grant allocations to eligible CWSRF loan applicants on the Fundable List in the order established by the Priority Point Criteria (Appendix 5) with available additional subsidization funds. Affordability Grants are the highest priority within the Department’s additional subsidization funds. The Department will allocate this grant opportunity prior to other grants such as the Water Quality Incentive Grant. An applicant may qualify to receive CWSRF Affordability Grants for separate projects submitted in a single year, as long as the total amount of additional subsidization does not exceed \$2,000,000 per applicant. Eligible applicants are those that meet the criteria established in the Department’s guidance (see Appendix 6), submit a CWSRF application by the March 1 deadline, and meet readiness-to-proceed criteria. If additional subsidization funds remain after the March 1 deadline and an applicant later meets the readiness-to-proceed criteria, that applicant may be allocated an affordability grant. The CWSRF Loan Application form and instructions are available at <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-loan-application-mo-780-1951>. Additional application instructions are described in Appendix 2. The Affordability Grant Eligibility Evaluation Form is available at <https://dnr.mo.gov/media/file/clean-water-state-revolving-fund-grant-eligibility-evaluation-form-mo-780-2854>.
- **CWSRF Water Quality Incentive Grants (WQIGs)** are available to applicants receiving a CWSRF loan to incentivize certain actions that have significant benefits to water quality. The Department will allocate WQIG funds to eligible CWSRF loan applicants on the Fundable List in the order established by the Priority Point Criteria (Appendix 5) with the available additional subsidization funds (i.e., if funds remain after all Affordability Grants have been allocated for eligible projects). Eligible applicants are those that submit an application by the March 1 deadline, meet readiness-to-proceed criteria, and include a qualifying project component. A WQIG is limited to the amount of additional subsidization available and the lesser of (1) cost of qualifying project component (not the percentage of cost), (2) maximum



grant amount, or (3) maximum grant percentage as a portion of total funding request. Qualifying project components and the associated maximum WQIG amounts are described in the table below.

| <b>Water Quality Incentive Grants</b>   |                                |
|---|--------------------------------|
| <b>Project component</b>  | <b>Available grant funding</b> |
| Cost for construction of flood mitigation infrastructure, such as holding basins, floodwalls and redirection structures, used in conjunction with a flood control plan intended to protect a wastewater treatment facility.   | Up to \$1,000,000*             |
| Cost for wastewater system upgrades needed to comply with new wastewater permit limits or to meet the assumptions and requirements of a Total Maximum Daily Load Wasteload Allocation for a particular pollutant (may include treatment upgrades or construction of a conveyance to another plant). | Up to \$1,000,000*             |
| Cost for construction of wastewater treatment plant improvements intended to provide renewable energy generation, such as methane recovery, that reduce plant operating cost.   | Up to \$1,000,000*             |
| Cost for effective nutrient reduction measures in the watershed of a drinking water supply lake/reservoir, such as streambank stabilization or cost share matching for certain nutrient reduction practices.  | Up to \$1,000,000*             |
| Cost for construction of measures to manage, reduce, treat, or recapture stormwater, or to construct green infrastructure in developed or urban areas to address nonpoint source pollution.   | Up to \$1,000,000*             |
| Cost for construction of wastewater treatment facility improvements intended to reuse or recycle wastewater, such as recharging basins, aquifer recharging, and conveyance to industrial facilities. Land application projects are excluded.  | Up to \$1,000,000*             |
| Cost for inflow and infiltration rehabilitation projects, such as pipe lining and line replacement.   | Up to \$1,000,000*             |
| Cost for construction of a sewer extension to serve customers within or outside of an applicant's service area that will eliminate a permitted, or should be permitted, discharging wastewater treatment facility, which cannot be owned by a for-profit entity.                                    | Up to \$500,000*               |
| Cost for construction to connect homes with failing or poorly functioning onsite wastewater treatment systems to an existing central wastewater treatment system.   | Up to \$500,000*               |

\* Not to exceed maximum amount, project component cost, or 55% of the total funding request, whichever is less.

The WQIG commitment is valid for two years, with grant funds awarded when the applicant enters into a loan agreement. Failure to make timely progress may result in bypass and the loss of the WQIG commitment. Each applicant, whether it submits an application for one project or multiple projects, is limited to one WQIG per IUP year, in order to equitably distribute grant funds to CWSRF loan applicants.

Applicants with projects eligible for a CWSRF loan with an Affordability Grant may receive that grant as well as a WQIG for qualifying project costs if the total funding request is over \$3,636,364 and the CWSRF loan is at least \$1,636,364 (i.e., loan portion is 45% or more of the total financial package). For example, an applicant eligible for an Affordability Grant that applies for \$4,600,000 in treatment system upgrades needed to comply with new permit limits could be eligible for a \$2,070,000 CWSRF loan, a \$2,000,000 Affordability Grant, and a

\$530,000 WQIG<sup>1</sup>. The CWSRF Loan Application form and instructions are available at <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-loan-application-mo-780-1951>. Additional application instructions are described in Appendix 2.

## **Use as match to federal funds**

CWSRF loan funds may be used by qualified applicants to co-fund nonpoint source (NPS) eligible projects to help satisfy match requirements for the Section 319 grant. The Department's Water Protection Program provides funding authorized by Section 319 of the federal Clean Water Act to support planning for, and the implementation of, on-the-ground practices that control or reduce NPS pollution. CWSRF funds that have already been loaned out for a CWSRF project and repaid to the state, known as recycled funds, may be used to meet the nonfederal match requirement for a Section 319 grant.

## **Department Initiatives**

The Department will make available additional grant funds to provide technical assistance to rural, small, or otherwise disadvantaged communities with publicly owned treatment works, in accordance with Section 603(k) of the Clean Water Act. One or more qualified non-profit organizations or state, regional, interstate, or municipal entities will be chosen through a competitive process to properly procure certain engineering and archeological services to deliver technical assistance to qualified applicants. These services will focus on preliminary design and planning for wastewater infrastructure capital improvement projects and facilitate preparation and coordination of archeological reports required for technical completeness of active CWSRF projects. The funds may also be used to identify and conduct proactive outreach to and facilitate CWSRF applications from disadvantaged communities or onsite wastewater treatment system target areas.

## **Our partners**

The Missouri Water and Wastewater Review Committee (MWWRC) is a group of individuals representing three agencies that provide funding to communities for water and wastewater infrastructure improvements. Agencies represented include the Department, the Missouri Department of Economic Development's Community Development Block Grant Program, and the U.S. Department of Agriculture's Rural Development. The committee convenes once a month as needed to review proposals, engineering reports, and make recommendations to apply for funding. This collaborative effort is intended to stretch limited financial assistance dollars to support the greatest number of projects for Missouri communities.

The Missouri Department of Agriculture oversees a loan program funded by the CWSRF for the construction of animal waste treatment facilities. The Department awards loans to the Missouri Agriculture and Small Business Development Authority, which in turn loans the funds to livestock and dairy producers for animal waste treatment facilities. For information on the Animal Waste Treatment System Loan Program, call 573-751-2129.

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<sup>1</sup> Calculation for determining amount of both grants: Determine 45% of the total request since a loan cannot be less than that. Then subtract the affordability grant max from the amount remaining. The final number is the amount of WQIG the applicant is eligible for up to the max allowed. Example:  $\$4,600,000 \times 45\% = \$2,070,000$  loan (minimum). Remaining amount is  $\$2,530,000$  grant (maximum). Subtract  $\$2,000,000$  affordability grant max from that amount, to get a final calculation of  $\$530,000$ , which is the amount of WQIG if the component cost equals  $\$530,000$  or more.

## **Program commitments and state assurances**

The Department makes a number of program commitments and state assurances related to managing the CWSRF. See Appendix 4 for a list and description of these commitments and assurances.

## **Application deadline**

An entity can submit a CWSRF loan application at any time to the Department. Applications received or postmarked by March 1 will receive priority consideration for funding in the next fiscal year's IUP and consideration for additional subsidization (or grant) funding. See Appendix 2 for more information about applying for funding.

## **Projects being funded in FFY 2024**

The list of projects being funded in FFY 2024 is ranked by priority in Appendix 1.

# Appendix 1: Comprehensive Project Priority List and Financial Tables

## Estimated Sources and Uses of Funds

During FFY 2024, the CWSRF program expects to have approximately \$443 million available for loans and additional subsidization. The estimate includes carryover monies from previous years, repayments, interest earnings on investments of CWSRF resources, base, general supplemental and emerging contaminant capitalization grants, and state match.

Funds are allocated to projects that are on a Fundable List as approved by the Clean Water Commission. The amount of funds made available through this IUP may be revised at any time due to changing economic conditions.

- **CWSRF Base Capitalization Grant Funding**

The FFY 2023 CWSRF base capitalization grant provides approximately \$20.7 million of the total available loan and additional subsidization funding for FFY 2024.

State match is 20 percent of the total amount of the FFY 2023 CWSRF base capitalization grant. The state match will be provided through a state match bond sale.

The Department intends to use an amount from the FFY 2023 CWSRF base capitalization grant equal to 1/5 of one percent of the current valuation of the fund for program administration.

The Department also intends to set-aside an amount from the FFY 2023 CWSRF base capitalization grant equal to two percent of the grant award for technical assistance activities.

- **CWSRF BIL General Supplemental Capitalization Grant Funding**

The FFY 2023 CWSRF general supplemental capitalization grant provides approximately \$57.7 million of the total available loan and additional subsidization funding for FFY 2024.

State match is 10 percent of the total amount of the FFY 2023 CWSRF general supplemental capitalization grant. The state match will be provided through a state match bond sale.

The Department intends to use an amount from the FFY 2023 CWSRF general supplemental capitalization grant equal to 0.50 percent of the grant award for program administration.

The Department also intends to set-aside an amount from the FFY 2023 CWSRF general supplemental capitalization grant equal to 2 percent of the grant award for technical assistance. Refer to the Department Initiatives section for a description of planned Technical Assistance activities.

- **CWSRF BIL Emerging Contaminants Capitalization Grant Funding**

The FFY 2023 CWSRF emerging contaminant capitalization grant is 100 percent additional subsidization and will provide approximately \$5.8 million of the total available additional subsidization funding for FFY 2024.

There is no state match required of the total amount of the FFY 2023 CWSRF emerging contaminant capitalization grant.

No program administration or technical assistance set-aside will be applied for through the FFY 2023 CWSRF emerging contaminants capitalization grant.

The EPA requires all projects receiving this funding to meet equivalency requirements.

**List of FFY 2024 Applicants**

|   | <b>Applicant</b>                                    | <b>FFY 2021 Old<br/>Base<br/>Add Sub</b> | <b>FFY 2022 &amp;<br/>2023 Base<br/>Add Sub</b> | <b>General<br/>Supplemental<br/>Add Sub</b> | <b>Emerging<br/>Contaminants<br/>Add Sub</b> | <b>CWSRF Loan</b> | <b>Financial<br/>Assistance<br/>Request</b> |
|---|---|--|---|---|--|-------------------|---|
|   | Appleton City                                       |  | \$ 2,000,000                                    | \$ 135,868                                  |  | \$ 1,747,529      | \$ 3,883,397                                |
|   | Ashland   |  |   |   |  |                   | \$ 18,329,339                               |
|   | Aurora  |  |   | \$ 2,000,000                                |  | \$ 2,016,000      | \$ 4,016,000                                |
|   | Belton - RIG (Design Construction)                  |  |   |   |  |                   | \$ 2,146,008                                |
|   | Benton  |  |   | \$ 1,000,000                                |  | \$ 4,202,126      | \$ 5,202,126                                |
|   | Benton City   |  |   | \$ 336,796                                  |  | \$ 275,560        | \$ 612,356                                  |
|   | Billings  |  |   | \$ 2,414,099                                |  | \$ 1,975,171      | \$ 4,389,270                                |
|   | Boone County Commission (Bolli Road Coll System)    |  |   | \$ 209,986                                  |  | \$ 171,807        | \$ 381,793                                  |
| C | Boone County Commission (Phenora North Coll System) |  | \$ 223,259                                      |   |  | \$ 148,840        | \$ 372,099                                  |
| C | Boone County RSD (Highfield Acres)                  |  | \$ 160,968                                      |   |  | \$ 107,312        | \$ 268,280                                  |
| C | Boone County RSD (Richardson Acres/Brown Station)   |  |   |   |  | \$ 2,366,000      | \$ 2,366,000                                |
|   | Bourbon   |  |   | \$ 1,650,000                                |  | \$ 1,350,000      | \$ 3,000,000                                |
|   | Braymer   |  |   | \$ 1,634,320                                |  | \$ 1,337,170      | \$ 2,971,490                                |
| C | Buckner   |  |   |   |  |                   | \$ 7,191,000                                |
|   | Burlington Junction                                 |  |   | \$ 689,939                                  |  | \$ 564,495        | \$ 1,254,434                                |
| C | California  |  |   |   |  |                   | \$ 32,486,383                               |
| C | Carrollton  |  |   |   |  |                   | \$ 3,362,226                                |
|   | Center  |  |   | \$ 1,020,604                                |  | \$ 835,039        | \$ 1,855,643                                |
| C | Centertown  |  |   |   |  |                   | \$ 15,877,414                               |
| C | Clarksburg  |  | \$ 1,159,410                                    |   |  | \$ 772,940        | \$ 1,932,350                                |
| C | Clarksdale  |  |   |   |  |                   | \$ 400,000                                  |
| C | Clarksville   | \$ 265,512                               |   |   |  | \$ 177,008        | \$ 442,520                                  |
| C | Clever  |  |   |   |  | \$ 2,743,649      | \$ 2,743,649                                |
|   | Crocker   |  |   | \$ 2,315,491                                |  | \$ 1,894,492      | \$ 4,209,983                                |
|   | Deer Run Reorganized Sewer District                 |  |   | \$ 1,356,614                                |  | \$ 1,109,956      | \$ 2,466,570                                |
|   | Diamond   |  |   | \$ 617,150                                  |  | \$ 1,607,740      | \$ 2,224,890                                |
|   | Dixon   |  |   | \$ 3,000,000                                |  | \$ 3,166,400      | \$ 6,166,400                                |
|   | Dudley  |  |   |   |  |                   | \$ 3,761,179                                |
|   | Eagleville  |  |   | \$ 669,955                                  |  | \$ 548,145        | \$ 1,218,100                                |
| C | EIERA-Energy Infrastructure Bank                    |  |   |   |  | \$ 3,000,000      | \$ 3,000,000                                |
|   | Ellington   |  |   |   |  |                   | \$ 5,227,240                                |
|   | Freeburg  |  |   |   |  |                   | \$ 3,765,990                                |
| C | Higginsville (Pump Station)                         |  |   |   |  | \$ 2,686,425      | \$ 2,686,425                                |
| C | Higginsville (WWTF)                                 | \$ 3,500,000                             |   |   |  | \$ 14,813,575     | \$ 18,313,575                               |
|   | Highlandville                                       |  |   |   |  |                   | \$ 1,160,000                                |



|   | Applicant  | FFY 2021 Old<br>Base<br>Add Sub | FFY 2022 &<br>2023 Base<br>Add Sub | General<br>Supplemental<br>Add Sub | Emerging<br>Contaminants<br>Add Sub | CWSRF Loan    | Financial<br>Assistance<br>Request |
|---|--|---------------------------------|------------------------------------|------------------------------------|-------------------------------------|---------------|------------------------------------|
|   | Huntsville (1A)  |                                 |                                    | \$ 1,679,411                       |                                     | \$ 1,374,064  | \$ 3,053,475                       |
|   | Huntsville (1B)  |                                 |                                    | \$ 1,320,589                       |                                     | \$ 2,570,711  | \$ 3,891,300                       |
| C | Iberia   | \$ 196,727                      | \$ 3,303,273                       |                                    |                                     | \$ 4,691,354  | \$ 8,191,354                       |
|   | Jackson  |                                 |                                    |                                    |                                     | \$ 10,100,000 | \$ 10,100,000                      |
| C | Jasper   |                                 | \$ 624,000                         |                                    |                                     | \$ 416,000    | \$ 1,040,000                       |
| C | Jefferson City (Basin 10)  |                                 |                                    |                                    |                                     | \$ 7,045,000  | \$ 7,045,000                       |
|   | Jefferson City (Biosolids)   |                                 |                                    |                                    |                                     | \$ 14,017,322 | \$ 14,017,322                      |
| C | Kansas City (Todd Creek)   |                                 |                                    |                                    |                                     | \$ 80,000,000 | \$ 80,000,000                      |
|   | Knox County PWSD No. 1   |                                 |                                    | \$ 1,002,691                       |                                     | \$ 820,384    | \$ 1,823,075                       |
| C | La Monte   |                                 | \$ 1,199,918                       |                                    |                                     | \$ 799,945    | \$ 1,999,863                       |
|   | Lancaster  |                                 |                                    | \$ 809,945                         |                                     | \$ 662,683    | \$ 1,472,628                       |
|   | Laurie   |                                 |                                    | \$ 1,332,117                       |                                     | \$ 1,089,913  | \$ 2,422,030                       |
| C | Lexington  |                                 |                                    |                                    |                                     |               | \$ 12,930,943                      |
|   | Licking  |                                 |                                    | \$ 1,625,013                       |                                     | \$ 1,329,556  | \$ 2,954,569                       |
|   | Linn/Lee Mar Hills - (Design/Construction)                           |                                 |                                    |                                    |                                     |               | \$ 1,646,720                       |
| C | Little Blue Valley Sewer District (Middle Big Creek-WWTF)            |                                 |                                    |                                    |                                     | \$ 82,833,300 | \$ 82,833,300                      |
|   | Little Blue Valley Sewer District (Middle Big Creek-<br>Interceptor) |                                 |                                    |                                    |                                     | \$ 23,140,400 | \$ 23,140,400                      |
| C | Lockwood   |                                 | \$ 1,795,890                       |                                    |                                     | \$ 1,197,260  | \$ 2,993,150                       |
| C | Mansfield  |                                 |                                    |                                    |                                     |               | \$ 3,670,700                       |
| C | Martinsburg  |                                 | \$ 561,187                         |                                    |                                     | \$ 756,213    | \$ 1,317,400                       |
| C | Mayview  |                                 | \$ 1,773,991                       |                                    |                                     | \$ 1,182,660  | \$ 2,956,651                       |
|   | Memphis  |                                 |                                    | \$ 3,000,000                       |                                     | \$ 4,741,215  | \$ 7,741,215                       |
|   | Metropolitan Golf Foundation   |                                 |                                    |                                    |                                     |               | \$ 5,037,465                       |
|   | Missouri Agriculture & Small Business Development                    |                                 |                                    |                                    |                                     | \$ 500,000    | \$ 500,000                         |
|   | Moberly/Orton Lane - RIG (Facility Plan)                             |                                 |                                    | \$ 62,500                          |                                     |               | \$ 62,500                          |
| C | Moberly (Heritage Hills Golf Course)                                 |                                 | \$ 221,261                         |                                    |                                     | \$ 344,443    | \$ 565,704                         |
|   | Moberly (Northwest Regional Lift Station)                            |                                 |                                    | \$ 2,758,830                       |                                     | \$ 2,257,225  | \$ 5,016,055                       |
|   | Moberly (Rollins CSO)  |                                 |                                    |                                    |                                     | \$ 4,918,770  | \$ 4,918,770                       |
| C | Moberly (Sparks Ave)   | \$ 422,052                      |                                    |                                    |                                     | \$ 281,368    | \$ 703,420                         |
| C | Mokane   |                                 | \$ 1,471,500                       |                                    |                                     | \$ 981,000    | \$ 2,452,500                       |
|   | Monett   |                                 |                                    |                                    |                                     | \$ 4,598,936  | \$ 4,598,936                       |
| C | Mountain View  |                                 | \$ 3,500,000                       |                                    |                                     | \$ 3,091,500  | \$ 6,591,500                       |
| C | MSD (Fluidized Bed Incinerators)                                     |                                 |                                    |                                    |                                     |               | \$ 649,000,000                     |
|   | MSD (Phase IX I/I)   |                                 |                                    | \$ 1,000,000                       |                                     | \$ 5,000,000  | \$ 6,000,000                       |
|   | MSD (Prospect Hill Landfill)   |                                 |                                    |                                    | \$ 1,931,000                        |               | \$ 1,931,000                       |
| C | New Florence   |                                 | \$ 687,600                         |                                    |                                     | \$ 458,400    | \$ 1,146,000                       |
|   | Niangua  |                                 |                                    | \$ 728,791                         |                                     | \$ 596,283    | \$ 1,325,074                       |

|                       | Applicant                        | FFY 2021 Old<br>Base<br>Add Sub | FFY 2022 &<br>2023 Base<br>Add Sub | General<br>Supplemental<br>Add Sub | Emerging<br>Contaminants<br>Add Sub | CWSRF Loan            | Financial<br>Assistance<br>Request |
|-----------------------|----------------------------------|---------------------------------|------------------------------------|------------------------------------|-------------------------------------|-----------------------|------------------------------------|
|                       | Palmyra                          |                                 |                                    | \$ 1,000,000                       |                                     | \$ 6,689,140          | \$ 7,689,140                       |
|                       | Piedmont                         |                                 |                                    |                                    |                                     |                       | \$ 3,928,278                       |
|                       | Platte City                      |                                 |                                    |                                    |                                     |                       | \$ 17,227,036                      |
|                       | Queen City                       | \$ 457,910                      |                                    | \$ 782,791                         |                                     | \$ 1,015,119          | \$ 2,255,820                       |
| C                     | Ralls Co. PWSD 1                 |                                 |                                    |                                    |                                     | \$ 356,000            | \$ 356,000                         |
| C                     | Republic (CIP 9)                 |                                 |                                    |                                    |                                     | \$ 12,000,000         | \$ 12,000,000                      |
| C                     | Republic (WWTP MBR)              |                                 |                                    |                                    |                                     |                       | \$ 58,000,000                      |
|                       | Rocky Mount Sewer District       |                                 |                                    | \$ 2,306,161                       |                                     | \$ 1,886,859          | \$ 4,193,020                       |
| C                     | Rosebud                          | \$ 1,796,984                    |                                    |                                    |                                     | \$ 1,197,990          | \$ 2,994,974                       |
|                       | Salem                            |                                 |                                    | \$ 2,559,425                       |                                     | \$ 2,094,075          | \$ 4,653,500                       |
|                       | Springfield (Stormwater)         |                                 |                                    | \$ 3,000,000                       |                                     | \$ 10,000,000         | \$ 13,000,000                      |
| C                     | Troy (Biosolids Upgrade)         |                                 |                                    |                                    |                                     |                       | \$ 5,244,000                       |
|                       | Unionville                       |                                 |                                    | \$ 877,252                         |                                     | \$ 717,751            | \$ 1,595,003                       |
| C                     | Urbana                           |                                 | \$ 1,501,319                       |                                    |                                     | \$ 1,000,880          | \$ 2,502,199                       |
|                       | Walker                           |                                 |                                    | \$ 986,790                         |                                     | \$ 2,129,890          | \$ 3,116,680                       |
| C                     | Windsor                          | \$ 2,245,649                    |                                    |                                    |                                     | \$ 1,497,101          | \$ 3,742,750                       |
|                       | Engineering Report Grants        |                                 | \$ 391,499                         | \$ 1,108,501                       |                                     |                       | \$ 1,500,000                       |
|                       | Integrated Management Plan Grant | \$ 81,095                       |                                    | \$ 118,905                         |                                     |                       | \$ 200,000                         |
|                       | Regionalization Incentive Grant  |                                 | \$ 573,325                         | \$ 3,299,746                       |                                     |                       | \$ 3,873,071                       |
| <b>Total Projects</b> |                                  | <b>\$ 8,965,929</b>             | <b>\$ 21,148,400</b>               | <b>\$ 50,410,280</b>               | <b>\$ 1,931,000</b>                 | <b>\$ 351,998,089</b> | <b>\$ 1,284,845,619</b>            |

C = Carried over from the last Intended Use Plan

**Clean Water State Revolving Fund  
Estimated Sources and Uses of Funds  
Base/General Supplemental/Emerging Contaminants Combined  
FFY 2024 Intended Use Plan**

|   |                    |                         |
|---|--------------------|-------------------------|
| <b>Estimated Sources as of December 31, 2022</b>  |                    |                         |
| FFY 2020 CWSRF Base Capitalization Grant (federal portion only)   | \$ 98,607          |                         |
| FFY 2021 CWSRF Base Capitalization Grant (federal portion only)   | \$ 2,537,637       |                         |
| FFY 2022 CWSRF Base Capitalization Grant (federal portion only)   | \$ 32,076,000      |                         |
| FFY 2022 CWSRF General Supplemental Capitalization Grant (federal portion only)   | \$ 49,339,000      |                         |
| FFY 2022 CWSRF Emerging Contaminant Capitalization Grant (federal portion only)   | \$ 2,592,000       |                         |
| Anticipated FFY 2023 CWSRF Base Capitalization Grant (federal portion only)   | \$ 20,795,000      |                         |
| Anticipated FFY 2023 CWSRF General Supplemental Capitalization Grant (federal portion only)   | \$ 57,783,000      |                         |
| Anticipated FFY 2023 CWSRF Emerging Contaminant Capitalization Grant (federal portion only)   | \$ 5,894,000       |                         |
| Loan Repayment Fund Balance   | \$ 512,700,273     |                         |
| Estimated CWSRF Loan Repayment Fund Investment Interest (1/1/23 - 9/30/25)  | \$ 11,611,970      |                         |
| Reserve Release Repayments (1/1/23 - 9/30/25)   | \$ 87,512,592      |                         |
| Direct Loans - Principal and Interest Repayments (1/1/23 - 9/30/25)   | \$ 8,148,156       |                         |
| Pledged Loan Principal Repayments Net of Bond Payments Due (1/1/23 - 9/30/25)   | \$ 202,763,527     |                         |
| State Match - FFY 2022 Base Capitalization Grant  | \$ 6,366,144       |                         |
| State Match - FFY 2022 CWSRF General Supplemental Capitalization Grant  | \$ 4,933,900       |                         |
| Estimated State Match - FFY 2023 Base Capitalization Grant *  | \$ 4,159,000       |                         |
| Estimated State Match - FFY 2023 CWSRF General Supplemental Capitalization Grant *  | \$ 5,778,300       |                         |
| Estimated Revenue Bond Sale Proceeds **   | \$ 36,443,267      |                         |
| <b>Total Estimated Sources</b>  |                    | <b>\$ 1,051,532,373</b> |
| <b>Estimated Uses</b>   |                    |                         |
| Undisbursed Amounts Committed to Existing Projects  | \$ 270,841,291     |                         |
| Remaining Balance for Administrative Expenses from FFY 2020 CWSRF Base Capitalization Grant   | \$ 98,607          |                         |
| Remaining Balance for Administrative Expenses from FFY 2021 CWSRF Base Capitalization Grant   | \$ 2,537,637       |                         |
| Remaining Balance for Administrative Expenses from FFY 2022 CWSRF Base Capitalization Grant   | \$ 2,920,896       |                         |
| Estimated Administrative Expenses from FFY 2023 CWSRF Base Capitalization Grant   | \$ 3,039,945       |                         |
| Estimated Administrative Expenses from FFY 2023 CWSRF General Supplemental Capitalization Grant   | \$ 288,915         |                         |
| Estimated 2% Technical Assistance from FFY 2023 CWSRF Base Capitalization Grant   | \$ 415,900         |                         |
| Estimated 2% Technical Assistance from FFY 2023 CWSRF General Supplemental Capitalization Grant   | \$ 1,155,660       |                         |
| FFY 2020 Base Capitalization Grant Additional Subsidization-Required  | \$ 1,669,689       |                         |
| FFY 2020 Base Capitalization Grant Additional Subsidization-Optional  | Up to \$4,450,560  | ***                     |
| FFY 2021 Base Capitalization Grant Additional Subsidization-Required  | \$ 4,404,700       |                         |
| FFY 2021 Base Capitalization Grant Additional Subsidization-Optional  | Up to \$13,022,304 | ***                     |
| FFY 2022 Base Capitalization Grant Additional Subsidization-Required  | \$ 6,415,200       |                         |
| FFY 2022 Base Capitalization Grant Additional Subsidization-Optional  | Up to \$6,415,200  | ***                     |
| FFY 2022 General Supplemental Capitalization Grant Additional Subsidization-Required  | \$ 24,176,110      |                         |
| FFY 2022 Emerging Contaminant Capitalization Grant Additional Subsidization-Required  | \$ 2,592,000       |                         |
| FFY 2023 Base Capitalization Grant Additional Subsidization-Required (est)  | \$ 4,159,000       |                         |
| FFY 2023 Base Capitalization Grant Additional Subsidization-Optional (est)  | Up to \$4,159,000  | ***                     |
| FFY 2023 General Supplemental Capitalization Grant Additional Subsidization-Required (est)  | \$ 28,313,670      |                         |
| FFY 2023 Emerging Contaminant Capitalization Grant Additional Subsidization-Optional (est)  | \$ 5,894,000       |                         |
| Reduction of Amount for Planned Awards  | \$ (14,581,324)    |                         |
| Anticipated Additional Subsidization Available for FFY 2024 CWSRF IUP Projects  | \$ 91,090,109      |                         |
| Anticipated Direct Loan Closings between 1/1/23 and 9/30/23   | \$ 312,564,000     |                         |
| Anticipated Grants Awarded between 1/1/23 and 9/30/23   | \$ 14,581,324      |                         |
| Anticipated Loan Funds Available for FFY 2024 CWSRF IUP Projects  | \$ 351,998,089     |                         |
| <b>Total Estimated Uses</b>   |                    | <b>\$ 1,051,532,373</b> |
| * A state match bond sale is expected to provide the \$9,937,300 in state match needed.<br>** A revenue bond sale is anticipated to fund projects on the fundable list.<br>*** See Appendix 4 for more information. |                    |                         |

| <b>Loan and Grant Commitments 1/1/23 through 9/30/23</b> | <b>Loan</b>        | <b>Grant</b>      | <b>Total</b>       |
|--|--------------------|-------------------|--------------------|
| Boone County RSD - Rollingwood - Funded 07/18/2023       | \$ 147,000         | \$ 220,000        | \$ 367,000         |
| Springfield – Funded 08/30/2023                          | \$ 4,877,000       | \$ 1,500,000      | \$ 6,377,000       |
| St. Joseph – Funded 09/28/2023                           | \$ 9,652,000       | \$ 1,500,000      | \$ 11,152,000      |
| MSD-Fluidized Bed Incinerators – Funded 09/26/2023       | \$ 260,000,000     | \$ -              | \$ 260,000,000     |
| MSD-Phase VIII I/I - Funded 08/22/2023                   | \$ 8,500,000       | \$ 1,500,000      | \$ 10,000,000      |
| MSD-Bissell Point Fine Screen - Funded 08/22/2023        | \$ 25,801,000      | \$ 2,000,000      | \$ 27,801,000      |
| Sunrise Beach – Funded 09/29/2023                        | \$ 1,587,000       | \$ 2,380,000      | \$ 3,967,000       |
| Moberly/Rte JJ - RIG Amendment                           | \$ -               | \$ 2,150,400      | \$ 2,150,400       |
| EIERA - Energy Infrastructure Bank - Funded 08/01/2023   | \$ 2,000,000       | \$ -              | \$ 2,000,000       |
| Onsite Septic Program – Funded 09/25/2023                | \$ -               | \$ 2,500,000      | \$ 2,500,000       |
| Engineering Report Grants                                | \$ -               | \$ 830,924        | \$ 830,924         |
| <b>Total Commitments 1/1/23 through 9/30/23</b>          | <b>312,564,000</b> | <b>14,581,324</b> | <b>327,145,324</b> |

## Allocation of Available Funds - Base, General Supplemental, and Emerging Contaminant

The inclusion of a project on the fundable list is not a guarantee of funding. Other factors, such as timely progress, compliance with program requirements, and funding availability, may impact project funding.

|  | Loans   |   |                                   |                               |                       |
|--|---|---|-----------------------------------|-------------------------------|-----------------------|
|  | 40%<br>Small and Non-<br>Metropolitan Areas &<br>Districts <sup>(4)</sup> | 30%<br>Large Metropolitan<br>Areas & Districts <sup>(5)</sup> | 15%<br>Combined Sewer<br>Overflow | 15% Department<br>Initiatives | Total                 |
| Allocation of Available Loan Funds                         | \$ 140,799,236  | \$ 105,599,427  | \$ 52,799,713                     | \$ 52,799,713                 | \$ 351,998,089        |
| Transfers  | \$ 10,599,427   | \$ (10,599,427)   |                                   |                               | \$ -                  |
| Transfers  | \$ 52,799,713   |   | \$ (52,799,713)                   |                               | \$ -                  |
| Transfers  | \$ 49,299,713   |   |                                   | \$ (49,299,713)               | \$ -                  |
| <b>Total Funding Assistance Planned <sup>(2)</sup></b>     | <b>\$ 253,498,089</b>   | <b>\$ 95,000,000</b>  | <b>\$ -</b>                       | <b>\$ 3,500,000</b>           | <b>\$ 351,998,089</b> |
| <b>Total Loans on Fundable List <sup>(1)</sup></b>         | <b>\$ 253,498,089</b>   | <b>\$ 95,000,000</b>  | <b>\$ -</b>                       | <b>\$ 3,500,000</b>           | <b>\$ 351,998,089</b> |
| <b>Balance Available after Loans Funded <sup>(3)</sup></b> | <b>\$ -</b>   | <b>\$ -</b>   | <b>\$ -</b>                       | <b>\$ -</b>                   | <b>\$ -</b>           |

|   | Additional Subsidization   |  |                            |                        |                      |
|---|--|--|----------------------------|------------------------|----------------------|
|   | Small and Non-<br>Metropolitan Areas &<br>Districts <sup>(4)</sup> | Large Metropolitan<br>Areas & Districts <sup>(5)</sup> | Combined Sewer<br>Overflow | Department Initiatives | Total                |
| Allocation of Available Additional Subsidization Funds:                               | \$ 81,023,538  | \$ 5,931,000   | \$ -                       | \$ 4,135,571           | \$ 91,090,109        |
| Affordability Grants (AG)   | \$ 56,659,704  | \$ 2,000,000   |                            |                        | \$ 58,659,704        |
| Engineering Report Grants (ERG) <sup>(6)</sup>  | \$ 1,500,000   |  |                            |                        | \$ 1,500,000         |
| Water Quality Incentive Grants (WQIG)   | \$ 14,229,334  | \$ 2,000,000   |                            |                        | \$ 16,229,334        |
| Regionalization Incentive Grants (RIG) <sup>(7)</sup>                                 |  |  |                            | \$ 3,935,571           | \$ 3,935,571         |
| Technical Assistance Grant (TAG)  |  |  |                            |                        | \$ -                 |
| Integrated Management Plan Grant (IMPG) <sup>(6)</sup>                                |  |  |                            | \$ 200,000             | \$ 200,000           |
| Onsite Wastewater Treatment System Grant <sup>(6)</sup>                               |  |  |                            |                        | \$ -                 |
| Emerging Contaminants <sup>(6)</sup>  | \$ 6,555,000   | \$ 1,931,000   |                            |                        | \$ 8,486,000         |
| Unallocated Additional Subsidization  |  |  |                            |                        | \$ -                 |
| Transfers   |  |  |                            |                        | \$ -                 |
| <b>Total Funding Assistance Planned <sup>(2)</sup></b>                                | <b>\$ 78,944,038</b>   | <b>\$ 5,931,000</b>                                    | <b>\$ -</b>                | <b>\$ 4,135,571</b>    | <b>\$ 89,010,609</b> |
| <b>Total Additional Subsidization on Fundable List <sup>(1)</sup></b>                 | <b>\$ 70,889,038</b>   | <b>\$ 5,931,000</b>                                    | <b>\$ -</b>                | <b>\$ 62,500</b>       | <b>\$ 76,882,538</b> |
| <b>Balance Available after Additional Subsidization Funded <sup>(3,6&amp;7)</sup></b> | <b>\$ 10,134,500</b>   | <b>\$ -</b>  | <b>\$ -</b>                | <b>\$ 4,073,071</b>    | <b>\$ 14,207,571</b> |

(1) From the Project Lists on the subsequent pages.

(2) Funding Assistance Planned = Allocation + Transfers.

(3) Balances may be shifted to other categories to fund projects that are ready to proceed.

(4) Service area population of less than 75,000.

(5) Service area population of 75,000 or more.

(6) Reserved for future grant offerings.

(7) Committed use of funds not yet allocated.

**CWSRF Federal Fiscal Year 2024 Project Priority Lists**

| Carryover   | Priority Points | Applicant   | Project #  | Description/<br>Needs Category                    | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount           | Additional<br>Subsidization<br>Amount | NPDES #                  | Est. Financing<br>Schedule<br>FY - Quarter |
|---|-----------------|---|------------|---|----------------------------|-------------------------|-----------------------|---------------------------------------|--------------------------|--|
| <i>Note: An explanation of the abbreviations and codes appears at the end of the project lists.</i>               |                 |   |            |   |                            |                         |                       |                                       |                          |  |
| <b>FUNDABLE LIST</b><br>(Debt instrument secured and facility plan submitted; fundable if funds become available) |                 |   |            |   |                            |                         |                       |                                       |                          |  |
| <b>TOTAL AVAILABLE FUNDS</b>  |                 |   |            |   |                            |                         | <b>\$ 351,998,089</b> | <b>\$ 91,090,109</b>                  |                          |  |
| <b>Small and Non-Metropolitan Areas and Districts (Service area population of fewer than 75,000 people)</b>       |                 |   |            |   |                            |                         | <b>\$ 253,498,089</b> | <b>\$ 81,023,538</b>                  |                          |  |
| C   | 140             | Lockwood - AG   | C295842-01 | Coll, Impr, PS, TP, NPDES; II, IVA                | 1,114                      | \$ 2,993,150            | \$ 1,197,260          | \$ 1,795,890                          | MO-0030473               | 24-2                                       |
| C   | 120             | Boone County RSD (Richardson Acres)                             | C295375-30 | PS, FM; IVB                                       | 259                        | \$ 2,366,000            | \$ 2,366,000          | \$ -                                  | Multiple                 | 24-4                                       |
| C   | 120             | Clever  | C295917-01 | NPDES, Exp, TP; II                                | 2,667                      | \$ 2,743,649            | \$ 2,743,649          | \$ -                                  | MO-0102318               | 24-3                                       |
| C   | 120             | Little Blue Valley Sewer District (Middle Big Creek - WWTF) *** | C295439-04 | TP, PS, Det, Exp, NPDES; II, IIIB                 | 56,656                     | \$ 82,833,300           | \$ 82,833,300         | \$ -                                  | MO-0058629               | 25-1                                       |
| C   | 115             | Moberly (Sparks Ave) - AG                                       | C295648-02 | Coll, PS, FM; IVA, IVB                            | 13,974                     | \$ 703,420              | \$ 281,368            | \$ 422,052                            | MO-0095605               | 24-1                                       |
| C   | 115             | Mokane - AG   | C295901-01 | Coll, FM, NPDES, PS, TP, Impr; II, IIIB, IVA, IVB | 185                        | \$ 2,452,500            | \$ 981,000            | \$ 1,471,500                          | MO-0106275               | 25-1                                       |
| C   | 115             | Mountain View - AG, WQIG 5                                      | C295896-01 | Coll, I/I, PS, Rehab; IIIA, IIIB                  | 2,719                      | \$ 6,591,500            | \$ 3,091,500          | \$ 3,500,000                          | MO-0026310               | 24-4                                       |
| C   | 110             | Higginsville (Pump Station)                                     | C295878-02 | PS, FM; IVB                                       | 4,797                      | \$ 2,686,425            | \$ 2,686,425          | \$ -                                  | Multiple                 | 24-4                                       |
| C   | 110             | Higginsville (WWTF) - AG, WQIG 2***                             | C295878-01 | TP, NPDES; II                                     | 4,797                      | \$ 18,313,575           | \$ 14,813,575         | \$ 3,500,000                          | MO-0023108               | 24-1                                       |
| C   | 110             | Moberly (Heritage Hills Golf Course) - WQIG 6                   | C295648-03 | Coll, PS, FM; IVA                                 | 13,974                     | \$ 565,704              | \$ 344,443            | \$ 221,261                            | MO-0095605               | 24-3                                       |
| C   | 110             | Rosebud - AG  | C295083-01 | TP, Impr, I/I, NPDES; II, IIIA                    | 519                        | \$ 2,994,974            | \$ 1,197,990          | \$ 1,796,984                          | MO-0091375               | 24-1                                       |
| C   | 105             | Boone County RSD (Highfield Acres) - WQIG 6                     | C295375-29 | Int; IVB  | 290                        | \$ 268,280              | \$ 107,312            | \$ 160,968                            | MO-0053376<br>MO-0097837 | 24-3                                       |
| C   | 105             | Urbana - AG   | C295834-01 | TP, Impr, I/I; II, IIIA                           | 417                        | \$ 2,502,199            | \$ 1,000,880          | \$ 1,501,319                          | MO-0095176               | 25-1                                       |
| C   | 100             | Windsor - AG, WQIG 5  | C295512-01 | TP, Impr, NPDES, I/I; II, IIIA, IIIB              | 3,087                      | \$ 3,742,750            | \$ 1,497,101          | \$ 2,245,649                          | MO-0047325<br>MO-0047317 | 24-1                                       |



| Carryover | Priority Points | Applicant   | Project #  | Description/<br>Needs Category                                  | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount   | Additional<br>Subsidization<br>Amount | NPDES #                  | Est. Financing<br>Schedule<br>FY - Quarter |
|-----------|-----------------|---|------------|---|----------------------------|-------------------------|---------------|---------------------------------------|--------------------------|--|
| C         | 95              | Boone County Commission<br>(Phenora North) - WQIG 6 | C295299-04 | Int; IVB  | 102                        | \$ 372,099              | \$ 148,840    | \$ 223,259                            | MO-0137294<br>MO-0099911 | 24-3                                       |
| C         | 90              | Clarksburg - AG                                     | C295863-01 | TP, Impr, NPDES,<br>I/I, Coll; II, IIIA, IIIB                   | 375                        | \$ 1,932,350            | \$ 772,940    | \$ 1,159,410                          | MO-0055131               | 24-2                                       |
| C         | 90              | Iberia - AG, WQIG 2                                 | C295864-01 | TP, I/I, Impr,<br>NPDES; II, IIIA                               | 727                        | \$ 8,191,354            | \$ 4,691,354  | \$ 3,500,000                          | MO-0101273               | 24-2                                       |
| C         | 90              | Jefferson City (Basin 10)                           | C295876-02 | Coll, I/I, Rehab,<br>Impr; IIIA, IIIB, IVA,<br>IVB              | 42,919                     | \$ 7,045,000            | \$ 7,045,000  | \$ -                                  | MO-0094846               | 24-3                                       |
| C         | 90              | La Monte - AG                                       | C295890-01 | TP, Impr, Rehab,<br>NPDES, Coll, I/I; I,<br>IIIA                | 1,140                      | \$ 1,999,863            | \$ 799,945    | \$ 1,199,918                          | MO-0108090<br>MO-0108081 | 24-2                                       |
| C         | 90              | Mayview - AG  | C295849-01 | TP, Impr, NPDES,<br>I/I; II, IIIA                               | 261                        | \$ 2,956,651            | \$ 1,182,660  | \$ 1,773,991                          | MO-0055131               | 24-1                                       |
| C         | 90              | Republic (CIP 9)                                    | C295903-06 | Coll, Exp, FM,<br>NPDES, PS; IVA                                | 9,360                      | \$ 12,000,000           | \$ 12,000,000 | \$ -                                  | MO-0022098               | 24-4                                       |
| C         | 85              | Jasper - AG   | C295843-01 | TP, Impr, Rehab,<br>NPDES; II                                   | 931                        | \$ 1,040,000            | \$ 416,000    | \$ 624,000                            | MO-0044202               | 24-2                                       |
| C         | 80              | Ralls Co. PWSD 1                                    | C295909-01 | TP, Impr, NPDES; I  | 46                         | \$ 356,000              | \$ 356,000    | \$ -                                  | MO-0122564               | 24-4                                       |
| C         | 75              | Martinsburg - WQIG 5                                | C295885-01 | Coll, Impr, PS,<br>Rehab, TP, NPDES,<br>I/I; I, IIIA, IIIB, IVB | 286                        | \$ 1,317,400            | \$ 756,213    | \$ 561,187                            | MO-0022349               | 24-3                                       |
| C         | 75              | New Florence - AG                                   | C295884-01 | I/I, Rehab, Coll, PS;<br>IIIA, IIIB                             | 769                        | \$ 1,146,000            | \$ 458,400    | \$ 687,600                            | MO-0110817               | 24-4                                       |
| C         | 65              | Clarksville - AG                                    | C295861-01 | TP, Impr; II  | 452                        | \$ 442,520              | \$ 177,008    | \$ 265,512                            | MO-0039632               | 24-2                                       |
|           | 155             | Laurie - AG   | C295898-01 | Coll, TP, PS, Impr,<br>Rehab, NPDES; II,<br>IIIB                | 949                        | \$ 2,422,030            | \$ 1,089,913  | \$ 1,332,117                          | MO-0127906               | 25-1                                       |
|           | 145             | Billings - AG, WQIG 5                               | C295904-01 | Coll, Impr, I/I,<br>NPDES, PS, Rehab,<br>TP; II, IIIA, IIIB     | 944                        | \$ 4,389,270            | \$ 1,975,171  | \$ 2,414,099                          | MO-0042480               | 25-2                                       |

| Carryover | Priority Points | Applicant   | Project #  | Description/<br>Needs Category                                      | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount   | Additional<br>Subsidization<br>Amount | NPDES #                  | Est. Financing<br>Schedule<br>FY - Quarter |
|-----------|-----------------|---|------------|---|----------------------------|-------------------------|---------------|---------------------------------------|--------------------------|--|
|           | 145             | Braymer - AG  | C295888-01 | TP, Impr, Rehab,<br>NPDES; II                                       | 660                        | \$ 2,971,490            | \$ 1,337,170  | \$ 1,634,320                          | MO-0028061               | 24-3                                       |
|           | 140             | Queen City - AG   | C295865-01 | Coll, I/I, TP, Impr,<br>Rehab, NPDES; II,<br>IIIA, IIIB             | 593                        | \$ 2,255,820            | \$ 1,015,119  | \$ 1,240,701                          | MO-0093785               | 24-2                                       |
|           | 135             | Rocky Mount Sewer District -<br>AG, WQIG 7                                  | C295203-02 | Coll, Exp, FM,<br>NPDES, PS, TP; II,<br>IVA, IVB                    | 3,100                      | \$ 4,193,020            | \$ 1,886,859  | \$ 2,306,161                          | MO-0136719               | 24-4                                       |
|           | 130             | Crocker - AG, WQIG 5  | C295926-01 | I/I, Impr, NPDES,<br>PS, Rehab, TP; II,<br>IIIA                     | 929                        | \$ 4,209,983            | \$ 1,894,492  | \$ 2,315,491                          | MO-0094943               | 25-4                                       |
|           | 125             | Center - AG   | C295817-01 | Coll, I/I, Rehab;<br>IIIA, IIIB                                     | 521                        | \$ 1,855,643            | \$ 835,039    | \$ 1,020,604                          | MO-0107719               | 24-4                                       |
|           | 125             | Diamond - WQIG 5  | C295906-01 | TP, Coll, Int, FM, PS,<br>Impr, Rehab, I/I,<br>NPDES; I, IIIA, IIIB | 831                        | \$ 2,224,890            | \$ 1,607,740  | \$ 617,150                            | MO-0042013               | 25-1                                       |
|           | 125             | Lancaster - AG  | C295804-01 | Coll, Impr, I/I,<br>NPDES, Rehab, TP;<br>II, IIIA                   | 755                        | \$ 1,472,628            | \$ 662,683    | \$ 809,945                            | MO-0039691               | 25-2                                       |
|           | 125             | Unionville - AG   | C295920-01 | TP, Exp, Impr,<br>NPDES, Rehab; II                                  | 1,827                      | \$ 1,595,003            | \$ 717,751    | \$ 877,252                            | MO-0026646<br>MO-0054569 | 25-4                                       |
|           | 120             | Licking - AG  | C295928-01 | TP, Rehab; II   | 2,851                      | \$ 2,954,569            | \$ 1,329,556  | \$ 1,625,013                          | MO-0040118               | 25-2                                       |
|           | 120             | Little Blue Valley Sewer District<br>(Middle Big Creek –<br>Interceptor)*** | C295439-05 | Int; IVB  | 56,656                     | \$ 23,140,400           | \$ 23,140,400 | \$ -                                  | MO-0058629               | 24-3                                       |
|           | 120             | Salem - AG, WQIG 2  | C295924-01 | Impr, NPDES, PS,<br>Rehab, TP; II                                   | 4,623                      | \$ 4,653,500            | \$ 2,094,075  | \$ 2,559,425                          | MO-0021768               | 25-3                                       |
|           | 115             | Appleton City - AG, WQIG 5  | C295916-01 | TP, Impr, Coll, FM,<br>I/I, NPDES; II, IIIA,<br>IIIB                | 1,163                      | \$ 3,883,397            | \$ 1,747,529  | \$ 2,135,868                          | MO-0021105               | 24-4                                       |
|           | 110             | Dixon - AG, WQIG 2  | C295929-01 | Impr, PS, Rehab,<br>NPDES, TP; II                                   | 1,232                      | \$ 6,166,400            | \$ 3,166,400  | \$ 3,000,000                          | MO-0100129               | 25-2                                       |
|           | 110             | Huntsville (1A) - AG, WQIG 5  | C295848-01 | Coll, I/I, Rehab; IIIA  | 1,664                      | \$ 3,053,475            | \$ 1,374,064  | \$ 1,679,411                          | Multiple                 | 24-3                                       |

| Carryover | Priority Points | Applicant  | Project #  | Description/<br>Needs Category                          | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount   | Additional<br>Subsidization<br>Amount | NPDES #    | Est. Financing<br>Schedule<br>FY - Quarter |
|-----------|-----------------|--|------------|---|----------------------------|-------------------------|---------------|---------------------------------------|------------|--|
|           | 110             | Huntsville (1B) - AG                             | C295848-02 | Coll, I/I, Rehab;<br>IIIA, IIIB, IVB                    | 1,664                      | \$ 3,891,300            | \$ 2,570,711  | \$ 1,320,589                          | Multiple   | 25-1                                       |
|           | 105             | Moberly (Rollins CSO)                            | C295648-05 | Exp, TP, PS; IIIB, V                                    | 13,974                     | \$ 4,918,770            | \$ 4,918,770  | \$ -                                  | MO-0117960 | 25-1                                       |
|           | 105             | Monett*  | C295923-01 | TP, Impr, Rehab,<br>NPDES; II                           | 9,576                      | \$ 4,598,936            | \$ 4,598,936  | \$ -                                  | MO-0021440 | 24-3                                       |
|           | 95              | Eagleville - AG                                  | C295868-01 | I/I, , TP, Coll,<br>NPDES, PS; II, IIIB                 | 284                        | \$ 1,218,100            | \$ 548,145    | \$ 669,955                            | MO-0113930 | 24-3                                       |
|           | 95              | Jefferson City (Biosolids)                       | C295876-01 | TP, Impr; II  | 43,228                     | \$ 14,017,322           | \$ 14,017,322 | \$ -                                  | MO-0094846 | 24-2                                       |
|           | 90              | Burlington Junction - AG                         | C295870-01 | TP, Impr, NPDES,<br>PS, Rehab; I                        | 547                        | \$ 1,254,434            | \$ 564,495    | \$ 689,939                            | MO-0048194 | 24-2                                       |
|           | 90              | Deer Run Reorganized Sewer<br>District - AG      | C295931-01 | Coll, Impr, I/I, TP;<br>IIIA, IIIB, IVA                 | 5,202                      | \$ 2,466,570            | \$ 1,109,956  | \$ 1,356,614                          | N/A        | 25-1                                       |
|           | 90              | Memphis* - AG, WQIG 5                            | C295889-01 | TP, Impr, NPDES,<br>I/I; II, IIIA, IIIB                 | 1,833                      | \$ 7,741,215            | \$ 4,741,215  | \$ 3,000,000                          | MO-0041173 | 25-2                                       |
|           | 90              | Walker - AG                                      | C295936-01 | Impr, NPDES, PS,<br>TP; II, IIIB                        | 199                        | \$ 3,116,680            | \$ 2,129,890  | \$ 986,790                            | MO-0103942 | 25-2                                       |
|           | 85              | Aurora - AG                                      | C295873-01 | Impr, NPDES, TP, II                                     | 7,438                      | \$ 4,016,000            | \$ 2,016,000  | \$ 2,000,000                          | MO-0036757 | 24-2                                       |
|           | 80              | Benton City - AG                                 | C295074-01 | PS, FM, Impr, TP,<br>NPDES; II                          | 104                        | \$ 612,356              | \$ 275,560    | \$ 336,796                            | MO-0103021 | 24-2                                       |
|           | 75              | Benton - WQIG 5                                  | C295925-01 | Coll, Impr, I/I,<br>NPDES, Rehab, TP;<br>II, IIIA, IIIB | 885                        | \$ 5,202,126            | \$ 4,202,126  | \$ 1,000,000                          | MO-0055182 | 25-1                                       |
|           | 75              | Bourbon - AG                                     | C295893-01 | Coll, Impr, I/I,<br>NPDES, Rehab, TP; I<br>IIIA, IIIB   | 1,946                      | \$ 3,000,000            | \$ 1,350,000  | \$ 1,650,000                          | MO-0094765 | 24-3                                       |
|           | 75              | Moberly (Northwest Lift<br>Station) - AG, WQIG 9 | C295648-04 | Coll, PS, FM; IIIB,<br>IVA                              | 13,974                     | \$ 5,016,055            | \$ 2,257,225  | \$ 2,758,830                          | MO-0117960 | 24-3                                       |
|           | 75              | Niangua - AG                                     | C295882-01 | TP, Impr, PS, Rehab,<br>NPDES; II, IIIB                 | 487                        | \$ 1,325,074            | \$ 596,283    | \$ 728,791                            | MO-0095109 | 24-3                                       |
|           | 75              | Palmyra - WQIG 5                                 | C295913-01 | Coll, Impr, I/I,<br>Rehab, TP NPDES;<br>II, IIIA, IIIB  | 3,613                      | \$ 7,689,140            | \$ 6,689,140  | \$ 1,000,000                          | MO-0099457 | 24-3                                       |
|           | 70              | Boone County Commission<br>(Bolli Road) - WQIG 6 | C295299-03 | Coll, FM; IVA   | 37                         | \$ 381,793              | \$ 171,807    | \$ 209,986                            | N/A        | 24-1                                       |

| Carryover  | Priority Points | Applicant   | Project #  | Description/<br>Needs Category            | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount           | Additional<br>Subsidization<br>Amount | NPDES #    | Est. Financing<br>Schedule<br>FY - Quarter |
|--|-----------------|---|------------|---|----------------------------|-------------------------|-----------------------|---------------------------------------|------------|--|
|  | 70              | Jackson   | C295839-01 | Coll, Impr, NPDES,<br>Rehab, TP; II, IIIA | 14,872                     | \$ 10,100,000           | \$ 10,100,000         | \$ -                                  | MO-0022853 | 24-2                                       |
|  | 70              | Knox County Public Water<br>Supply District No. 1 - AG                          | C295934-01 | FM, NPDES, PS, TP;<br>II                  | 374                        | \$ 1,823,075            | \$ 820,384            | \$ 1,002,691                          | Multiple   | 24-4                                       |
| <b>Small and Non-Metropolitan Areas and Districts Total</b>                                      |                 |   |            |   |                            | <b>\$ 324,387,127</b>   | <b>\$ 253,498,089</b> | <b>\$ 70,889,038</b>                  |            |  |
| <b>Balance</b>   |                 |   |            |   |                            |                         | <b>\$ -</b>           | <b>\$ 10,134,500</b>                  |            |  |
| <b>Large Metropolitan Areas and Districts (Service area population of 75,000 or more people)</b> |                 |   |            |   |                            |                         | <b>\$ 95,000,000</b>  | <b>\$ 5,931,000</b>                   |            |  |
| C  | 120             | Kansas City (Todd Creek)***   | C295840-02 | TP, Impr, NPDES; II                       | 9,091                      | \$ 80,000,000           | \$ 80,000,000         | \$ -                                  | MO-0024961 | 24-1                                       |
|  | 145             | MSD (Phase IX I/I) - WQIG 5   | C295023-44 | I/I; IIIA                                 | 1,275,000                  | \$ 6,000,000            | \$ 5,000,000          | \$ 1,000,000                          | Multiple   | 24-2                                       |
|  | 145             | Springfield (Stormwater) - AG,<br>WQIG 9  | C295859-03 | NPS; VIA, VIB                             | 169,176                    | \$ 13,000,000           | \$ 10,000,000         | \$ 3,000,000                          | MO-0126322 | 25-1                                       |
|  | 70              | MSD (Prospect Hill Landfill) -<br>EC***   | C295887-01 | Coll, Impr; II, Other                     | 1,275,000                  | \$ 1,931,000            | \$ -                  | \$ 1,931,000                          | MO-0025178 | 24-3                                       |
| <b>Large Metropolitan Areas and Districts Total</b>  |                 |   |            |   |                            | <b>\$ 100,931,000</b>   | <b>\$ 95,000,000</b>  | <b>\$ 5,931,000</b>                   |            |  |
| <b>Balance</b>   |                 |   |            |   |                            |                         | <b>\$ -</b>           | <b>\$ -</b>                           |            |  |
| <b>Combined Sewer Overflow</b>   |                 |   |            |   |                            |                         | <b>\$ -</b>           | <b>\$ -</b>                           |            |  |
|  |                 |   |            |   |                            |                         |                       |                                       |            |  |
| <b>Combined Sewer Overflow Total</b>   |                 |   |            |   |                            | <b>\$ -</b>             | <b>\$ -</b>           | <b>\$ -</b>                           |            |  |
| <b>Balance</b>   |                 |   |            |   |                            |                         | <b>\$ -</b>           | <b>\$ -</b>                           |            |  |
| <b>Department Initiatives (includes Regionalization Incentive Grants)</b>                        |                 |   |            |   |                            |                         | <b>\$ 3,500,000</b>   | <b>\$ 4,135,571</b>                   |            |  |
|  | N/A             | Missouri Agriculture & Small<br>Business Development -<br>Department Initiative | C295212-11 | NPS; VIIIB                                | N/A                        | \$ 500,000              | \$ 500,000            | \$ -                                  | N/A        | 24-4                                       |
| C  | N/A             | EIERA-Energy Infrastructure<br>Bank   | C295937-02 | NP; Other                                 | N/A                        | \$ 3,000,000            | \$ 3,000,000          | \$ -                                  | N/A        | 24-3                                       |

| Carryover                           | Priority Points | Applicant                                   | Project #  | Description/<br>Needs Category | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount           | Additional<br>Subsidization<br>Amount | NPDES #  | Est. Financing<br>Schedule<br>FY - Quarter |
|-------------------------------------|-----------------|---|------------|--------------------------------|----------------------------|-------------------------|-----------------------|---------------------------------------|----------|--|
|                                     | 1-105           | Moberly/Orton Lane - RIG<br>(Facility Plan) | C295854-02 | Coll, Exp; IVA                 | 13,974                     | \$ 62,500               |                       | \$ 62,500                             | Multiple | 24-1                                       |
| <b>Department Initiatives Total</b> |                 |   |            |                                |                            | <b>\$ 3,562,500</b>     | <b>\$ 3,500,000</b>   | <b>\$ 62,500</b>                      |          |  |
| <b>Balance</b>                      |                 |   |            |                                |                            |                         | <b>\$ -</b>           | <b>\$ 4,073,071</b>                   |          |  |
|                                     |                 |   |            |                                |                            |                         |                       |                                       |          |  |
| <b>Total Fundable List Projects</b> |                 |   |            |                                |                            | <b>\$ 428,880,627</b>   | <b>\$ 351,998,089</b> | <b>\$ 76,882,538</b>                  |          |  |
| <b>Balance of Fundable List</b>     |                 |   |            |                                |                            |                         | <b>\$ -</b>           | <b>\$ 14,207,571</b>                  |          |  |

#### FUNDABLE CONTINGENCY LIST

(Debt instrument secured and facility plan submitted; fundable if funds become available)

|  |  |  |  |  |  |             |             |             |  |  |
|--|--|--|--|--|--|-------------|-------------|-------------|--|--|
|  |  |  |  |  |  |             |             |             |  |  |
| <b>Total Fundable Contingency Projects</b> |  |  |  |  |  | <b>\$ -</b> | <b>\$ -</b> | <b>\$ -</b> |  |  |

#### CONTINGENCY LIST

*Note: Information will be added to the shaded columns when the project moves to the fundable list.*

| Contingency List (Small and Non-Metropolitan Areas and Districts, Large Metropolitan Areas and Districts, and Combined Sewer Overflow) |     |            |            |  |       |               |  |  |                          |  |
|--|-----|------------|------------|--|-------|---------------|--|--|--------------------------|--|
| Debt instrument not yet secured/submitted  |     |            |            |  |       |               |  |  |                          |  |
|  | 120 | Dudley     | C295935-01 | Coll, I/I, Rehab, TP; II, IIA, IIB                           | 168   | \$ 3,761,179  |  |  | MO-0102181               |  |
| C  | 110 | California | C295899-01 | Coll, Exp, FM, Impr, Int, PS, Rehab, TP, NPDES; II, IVA, IVB | 4,728 | \$ 32,486,383 |  |  | MO-0023272<br>MO-0121878 |  |
|  | 105 | Ellington  | C295919-01 | Coll, I/I, NPDES, Rehab, TP; II, IIIA, IIIB                  | 790   | \$ 5,227,240  |  |  | MO-0022896               |  |
| C  | 100 | Lexington  | C295911-01 | Coll, Impr, I/I, Rehab, TP, NPDES; II, IIIA                  | 4,726 | \$ 12,930,943 |  |  | MO-1010464               |  |
| C  | 100 | Mansfield  | C295902-01 | Coll, I/I, PS, NPDES, Impr, Rehab; II, IIIB                  | 1,255 | \$ 3,670,700  |  |  | MO-0050610               |  |
| C  | 95  | Buckner    | C295910-01 | TP, Impr, PS, Rehab, NPDES; II, IIIB                         | 3,045 | \$ 7,191,000  |  |  | MO-0098094               |  |

| Carryover  | Priority Points | Applicant   | Project #  | Description/<br>Needs Category                                  | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount | Additional<br>Subsidization<br>Amount | NPDES #                  | Est. Financing<br>Schedule<br>FY - Quarter |
|--|-----------------|---|------------|---|----------------------------|-------------------------|-------------|---------------------------------------|--------------------------|--|
|  | 95              | Highlandville                                     | C295927-01 | Impr, NPDES, TP; II   | 936                        | \$ 1,160,000            |             |                                       | MO-0128091               |  |
|  | 90              | Ashland   | C295930-01 | Coll, Det, Exp, Impr,<br>I/I, NPDES, PS,<br>Rehab, TP; II, IIIA | 3,907                      | \$ 18,329,339           |             |                                       | MO-0106844               |  |
|  | 90              | Freeburg  | C295922-01 | Coll, Impr, I/I,<br>NPDES, TP; II, IIIA                         | 487                        | \$ 3,765,990            |             |                                       | MO-0058220               |  |
|  | 85              | Platte City                                       | C295905-01 | Impr, NPDES, TP; II   | 4,901                      | \$ 17,227,036           |             |                                       | MO-0026298               |  |
| C  | 80              | Centertown  | C295912-01 | Coll, Exp, FM, Impr,<br>PS; IVA, IVB                            | 318                        | \$ 15,877,414           |             |                                       | N/A                      |  |
|  | 75              | Piedmont  | C295921-01 | Coll, Impr; I/I, IIIA,<br>IIIB                                  | 2,697                      | \$ 3,928,278            |             |                                       | MO-0047341               |  |
|  | 70              | MSD (Fluidized Bed<br>Incinerators II)***         | C295875-02 | TP, NPDES, Impr; II   | 1,275,000                  | \$ 649,000,000          |             |                                       | MO-0025178<br>MO-0025151 |  |
| C  | 65              | Carrollton  | C295891-01 | Impr, I/I, NPDES,<br>TP; II, IIIA                               | 3,637                      | \$ 3,362,226            |             |                                       | MO-0096318               |  |
| <b>Total Contingency Projects</b>  |                 |   |            |   |                            | <b>\$ 777,917,728</b>   | <b>\$ -</b> | <b>\$ -</b>                           |                          |  |
| <b>Contingency List (Department Initiatives, includes Regionalization Incentive Grants)<br/>Facility Plan submitted but service agreement not yet secured</b>  |                 |   |            |   |                            |                         |             |                                       |                          |  |
|  | 1-115           | Belton - RIG<br>(Design/Construction)             | C295938-01 | Coll, Int, NPDES;<br>IVA, IVB                                   | 111                        | \$ 2,146,008            |             |                                       | MO-0117412               | 25-1                                       |
|  | 1-110           | Linn/Lee Mar Hills - RIG<br>(Design/Construction) | C295853-02 | Coll, Exp; IVA  | 1,492                      | \$ 1,646,720            |             |                                       | MO-0051551               | 25-1                                       |
| <b>Total Department Initiatives Contingency Projects</b>   |                 |   |            |   |                            | <b>\$ 3,792,728</b>     | <b>\$ -</b> | <b>\$ -</b>                           |                          |  |
| <b>Total Contingency List Projects</b>   |                 |   |            |   |                            | <b>\$ 781,710,456</b>   | <b>\$ -</b> | <b>\$ -</b>                           |                          |  |
| <b>PLANNING LIST Note: Information will be added to the shaded columns when the project moves to the contingency or fundable list.<br/>(Debt instrument and facility plan not yet secured/submitted)</b> |                 |   |            |   |                            |                         |             |                                       |                          |  |
| C  | 110             | Republic (WWTP MBR)                               | C295903-05 | Exp, NPDES, TP; II  | 49,057                     | \$ 58,000,000           |             |                                       | MO-0022098               |  |
|  | 95              | Metropolitan Golf Foundation                      | C295932-01 | Coll, Det, NPS; VIA,<br>VIB                                     | N/A                        | \$ 5,037,465            |             |                                       | MO-R040005               |  |
| C  | 70              | Troy (Biosolides Upgrade)                         | C295822-02 | Impr, NPDES, TP; II   | 10,540                     | \$ 5,244,000            |             |                                       | MO-0131296               |  |



| Carryover  | Priority Points | Applicant  | Project #  | Description/<br>Needs Category | Service Area<br>Population | IUP Amount<br>Requested | Loan Amount | Additional<br>Subsidization<br>Amount | NPDES #    | Est. Financing<br>Schedule<br>FY - Quarter |
|--|-----------------|------------|------------|--------------------------------|----------------------------|-------------------------|-------------|---------------------------------------|------------|--|
| C  | 60              | Clarksdale | C295914-01 | Coll, FM, Impr, PS;<br>IIIB    | 390                        | \$ 400,000              |             |                                       | MO-0117161 |  |
| <b>Total Planning List Projects</b>                  |                 |            |            |                                |                            | <b>\$ 68,681,465</b>    | <b>\$ -</b> | <b>\$ -</b>                           |            |  |
| <b>Total Balance Remaining after Projects Funded</b> |                 |            |            |                                |                            |                         | <b>\$ -</b> | <b>\$14,207,571</b>                   |            |  |

| Grant Type |   | Description Reference List |   | Needs Category |
|------------|---|----------------------------|---|----------------|
| AG         | Affordability Grant   | C                          | Carried over from the last Intended Use Plan    | I              |
| WQIG       | Water Quality Incentive Grants<br>1 = flood mitigation<br>2 = permit limits<br>3 = streambank stabilization<br>4 = green infrastructure<br>5 = inflow and infiltration rehabilitation<br>6 = sewer extension to eliminate permitted facility<br>7 = sewer extension to eliminate onsite facilities<br>8 = renewable energy generation<br>9 = stormwater | Coll                       | Collection                                      | II             |
|            |   | CSO                        | Combined Sewer Overflow                         | IIIA           |
|            |   | Det                        | Detention                                       | IIIB           |
|            |   | Exp                        | Expansion                                       | IVA            |
|            |   | FM                         | Force Main                                      | IVB            |
|            |   | Impr                       | Improvements                                    | V              |
|            |   | Int                        | Interceptor                                     | VIIB           |
|            |   | I/I                        | Inflow/Infiltration                             | VIID           |
| RIG        | Regionalization Grant   | NPDES                      | National Pollution Discharge Elimination System | VI-A           |
| TAG        | Technical Assistance Grant  | NPS                        | Non Point Source                                |                |
| ERG        | Engineering Report Grant  | PS                         | Pump Station                                    |                |
| IMPG       | Integrated Management Plan Grant  | Rehab                      | Rehabilitation                                  |                |
| OWTSG      | Onsite Wastewater Treatment System Grant  | TP                         | Treatment Plant                                 |                |

\* Applicant has a maximum debt obligation that the loan amount cannot exceed.

\*\* Ineligible project costs deducted off total project costs.

\*\*\*Projects identified as Equivalency Projects will be designated as a Federal Funding Accountability and Transparency Act project. Equivalency Projects will be subject to all primary federal SRF requirements, including those federal requirements known as "cross-cutting" requirements. If projects marked as Equivalency Projects are not funded as intended then another project will be deemed as an Equivalency Project.

Notes:

Final eligible costs will be determined based on submittals as the project progresses toward loan closing.

Financing schedule shown is for planning purposes only. Final scheduling will be determined as documents are submitted and approvals obtained.

Carryover projects from the FFY 2023 list must reapply by March 1, 2024 to be considered for the FFY 2025 list.

Priority points for RIG projects include two numbers separated by a hyphen. The first number is the RIG category, and the second number is the priority point score calculated through the RIG procedure available at

<https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-regionalization-incentive-grant-guidance>

## **Distribution of Loan Administration Fees**

The Department follows EPA's October 20, 2005, guidance on the use of administration fees charged by the state to recipients of CWSRF program assistance. Fees charged by the program are not included as principal in loans. The administration fee may be considered program income, depending upon the source of the loan and the timing of the fee receipt. As shown in the following table, the administration fees collected are considered as:

- Program income earned during the capitalization grant period;
- Program income earned after the capitalization grant period; or
- Non-program income.

During the grant period is defined as the time between the effective date of the grant award and the ending date of the award reflected in the final grant financial report. Program income earned during the grant period may only be used for eligible CWSRF activities, as defined in the Clean Water Act, and program administration. Program income earned after the grant period, as well as non-program income, may be used for a broad range of water-quality related purposes. The State of Missouri has obtained approval from the EPA to use program income earned after the grant period for water-quality related purposes.

Another allowable use of the administration fees are to meet the cost sharing or matching requirement of the capitalization grant agreement.

| Source and Distribution of Funds                    |   |  |                       |
|---|---|--|-----------------------|
| Loan Administration Fees <sup>1</sup>               |   |  |                       |
| As of Dec. 31, 2022                                 |   |  |                       |
| Income  | Program Income<br>Earned During<br>Grant Period | Program Income<br>Earned After Grant<br>Period | Non-Program<br>Income |
| Beginning Balance as of 07/01/22                    | \$96,919  | \$2,869,561                                    | \$19,354,845          |
| FY 23 Income (thru 12/31/22)                        | \$91,029  | \$1,049,314                                    | \$1,407,512           |
| FY 23 Interest Earnings (thru 12/31/22)             | \$1,245   | \$28,686                                       | \$157,994             |
| Subtotal  | \$189,192                                       | \$3,947,561                                    | \$20,920,351          |
| <b>Expenditures Thru 12/31/22</b>                   |   |  |                       |
| FY 23 Personnel Services                            | (\$8,319)                                       | (\$109,511)                                    | (\$9,241)             |
| FY 23 Fringe  | (\$4,823)                                       | (\$68,277)                                     | (\$5,951)             |
| FY 23 Expenses                                      | (\$15,167)                                      | (\$15,615)                                     | (\$322,722)           |
| FY 23 PSD Expenditures                              | \$0   | (\$39,518)                                     | (\$868,905)           |
| FY 23 DNR Transfers <sup>2</sup>                    | (\$3,877)                                       | (\$23,578)                                     | (\$2,902)             |
| FY 23 ITSD Transfers <sup>2 &amp; 3</sup>           | (\$3,274)                                       | (\$19,908)                                     | (\$2,450)             |
| FY 23 HB 13 Transfers <sup>2</sup>                  | (\$73)  | (\$442)  | (\$54)                |
| Subtotal  | (\$35,532)                                      | (\$276,849)                                    | (\$1,212,225)         |
| Income Less Expenditures                            | \$153,660                                       | \$3,670,713                                    | \$19,708,125          |
| <b>Projected Income</b>                             |   |  |                       |
| FY 23 Income (01/01/23 - 06/30/24)                  | \$198,644                                       | \$1,023,957                                    | \$1,705,769           |
| FY 23 Interest Income (01/01/23 - 06/30/24)         | \$486   | \$583  | \$31,012              |
| FY 24 Income (07/01/23 - 06/30/24)                  | \$418,625                                       | \$1,859,433                                    | \$2,951,733           |
| FY 24 Interest Income (07/01/23 - 06/30/24)         | \$1,481   | \$260  | \$151,492             |
| Subtotal  | \$619,237                                       | \$2,884,233                                    | \$4,840,007           |
| <b>Projected Expenditures</b>                       |   |  |                       |
| FY 23 Personnel Services                            | (\$9,042)                                       | (\$1,619,133)                                  | (\$115,615)           |
| FY 23 Fringe  | (\$5,773)                                       | (\$986,715)                                    | (\$70,249)            |
| FY 23 Expense & Equipment                           | (\$120,787)                                     | (\$2,085)                                      | (\$209,778)           |
| FY 23 DNR Transfers <sup>2</sup>                    | (\$16,396)                                      | (\$322,906)                                    | (\$87,829)            |
| FY 23 ITSD Transfers <sup>2 &amp; 3</sup>           | (\$10,721)                                      | (\$219,274)                                    | (\$60,182)            |
| FY 23 HB 13 Transfers <sup>2</sup>                  | (\$356)   | (\$6,888)                                      | (\$1,865)             |
| FY 23 ERP Transfers <sup>2</sup>                    | (\$587)   | (\$10,029)                                     | (\$2,626)             |
| FY 23 PSD Expenditures                              | \$0   | (\$495,335)                                    | (\$242,993)           |
| FY 24 Personal Service, Fringe, Expenses & Indirect | (\$415,346)                                     | (\$2,300,552)                                  | (\$3,488,898)         |
| FY 24 Board Training & Operator Certification*      |   | (\$80,000)                                     |                       |
| Subtotal  | (\$579,008)                                     | (\$6,500,848)                                  | (\$4,715,490)         |
| Total Actual and Projected                          | \$193,889                                       | \$54,098                                       | \$19,832,642          |

<sup>1</sup> The distribution of loan administration fees to various department activities is subject to change throughout the Fiscal Year. Actual fund uses will be reported in the Federal Fiscal Year 2024 CWSRF Annual Report. FFY 2024 projected expenditures may include amounts carried over from prior fiscal years. FFY 2024 projected expenditures do not automatically carry over from one year to the next except for those indicated with an \*.

<sup>2</sup> Similar to the inclusion of Indirect Costs in federal grants, this represents the SRF Admin Fees proportionate share of departmental administrative costs.

\* DNR transfers reflect the cost of departmental staff and related expenses.

\* ITSD transfers reflect the information technology related costs for those staff.

\* HB 13 transfers reflect the cost of the related office space.

\* ERP transfers reflect the cost of new SAMS II.

<sup>3</sup> ITSD is the state's Information Technology Services Division.

## Appendix 2: Clean Water State Revolving Fund Loan Application Instructions

CWSRF applications received or postmarked by March 1, 2024, that meet readiness-to-proceed criteria, will receive priority for loan and additional subsidization funding for FFY 2025.

- Applications submitted by March 1 with a complete facility plan and documentation of an acceptable debt instrument receive priority allocation of loan and eligible additional subsidization.
- Applications submitted by March 1 with a complete facility plan, but the acceptable debt instrument requires further voter authorization, may be allocated additional subsidization if:
  - At the time of application, the applicant has taken all necessary steps to include a proposition for such debt instrument on the ballot for the April election for the current year (e.g., by April 2024 for the FFY 2025 Intended Use Plan (IUP) applications received by March 1, 2024);
  - The applicant receives the required voter approval at the April election;
  - The facility plan is complete;
  - The applicant or their bond counsel informs the Department of the successful vote as soon as possible after the April election; and
  - There is sufficient additional subsidization funds available after allocating additional subsidization to all applicants that met the readiness-to-proceed criteria by March 1.
- Applications submitted by March 1 without a facility plan and documentation of an acceptable debt instrument are not considered ready to proceed, and are therefore not considered for additional subsidization.

Applications submitted after March 1, 2024, may receive a commitment through an amendment to the FFY 2025 IUP if funds remain available.

Per 10 CSR 20-4.040, applications are valid for a 2-year plan cycle. Applicants that have not received their funding at the end of the 2-year plan cycle may reapply to the program, but a project's position on a fundable, contingency, or planning list may change with each subsequent application. The Department may also de-obligate funding from projects that are not making adequate progress within the allotted 2-year plan cycle and reallocate funds to other projects per the project bypass process.

It is important that any community who wishes to apply for this funding opportunity submit their application early in the project planning process. Early application and communication with the Department on each step are imperative to ensure the project meets all state and federal funding requirements.

The Department strongly encourages CWSRF applicants to retain the services of a registered municipal financial advisor. Municipal financial advisors are required to be registered with the Securities Exchange Commission. Additional information is available online at <https://www.sec.gov/info/smallbus/secg/muni-advisor-reg-secg.htm>.

## How to complete a CWSRF application

1. Complete and submit the application form. The application form with instructions and guidance is available online at <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-loan-application-mo-780-1951>.
2. Applicants must submit the following with their application in order for their project to be placed on one of the Fundable priority lists:
  - A complete facility plan that meets criteria numbers 1 through 4 listed in the Facilities Plan Submittal Checklist found here: <https://dnr.mo.gov/document-search/facilities-plan-submittal-checklist-clean-water-state-revolving-fund-mo-780-2041>. Prior to or concurrent with completion and submittal of a facility plan, the applicant should obtain a water quality/antidegradation review from the Department, if necessary. Submittal of an incomplete facility plan will delay progress and, ultimately, project funding.
  - State statute requires that all facility plans and design plans and specifications be signed, sealed, and dated by a Missouri professional engineer. Applicants must procure engineering services in accordance with sections 8.285 through 8.291, RSMo.
  - An acceptable debt instrument, which is ordinarily a Revenue Bond or a General Obligation Bond, but a Special Obligation Bond may be accepted in certain circumstances. The Department may consider other types of debt instruments on a case-by-case basis.
    - The Department may consider an applicant for the fundable list if the applicant provides documentation of intent to have an April bond ballot. Once the ballot has passed and the debt instrument documentation has been verified, the project will be considered to have an acceptable debt instrument.
  - Funding commitments from other state and/or federal agencies contributing to the project.
3. A borrower may submit an application without either a facility plan/engineering report or debt instrument. The Department does not consider such projects to meet readiness-to-proceed criteria and places them on either the Contingency or Planning List for a loan-only commitment. The Department will work with these applicants to assist them in achieving readiness-to-proceed status.

If you have questions or need assistance with a CWSRF application, please contact the Department's Financial Assistance Center at 573-751-1192 or [fac@dnr.mo.gov](mailto:fac@dnr.mo.gov).

## What to expect after submitting an application

The Department makes funding commitments by listing eligible projects on the annual CWSRF Intended Use Plan and Project Priority Lists. Each year, the draft plan is typically placed on public notice in July and adopted by the Clean Water Commission in October. The Department will notify each applicant that their project has received a provisional commitment with the publication of the draft plan. At this time, the Department's project manager will contact the applicant to develop a project schedule and begin working through the CWSRF process.

Before the Department makes a financial assistance award, the applicant's project must progress through several major milestones, including: environmental and cultural review; borrower financial capability review; engineering design; construction permit issuance; solicitation of bids; and approval of contracts. This is not a complete listing of every action and submittal associated with a CWSRF project; however, these are the major phases that are most likely to impact time

and cost. A Department project manager assists each applicant with every step of the process. Typical borrowers can close on the CWSRF loan within 15-22 months of application submittal. An overview of the SRF process can be accessed here: <https://dnr.mo.gov/document-search/what-expect-srf-process>.

## **Appendix 3: Clean Water State Revolving Fund Program Administration**

The Department's Financial Assistance Center is the delegated authority for the administration of federal funds made available to the state through the EPA under the provisions of the Clean Water Act. The funds are for financing a variety of eligible projects and are to be managed to be available in perpetuity for low-interest loans made from the CWSRF.

This IUP describes the proposed use of funds reserved for financial assistance for clean water infrastructure improvements during FFY 2024 (Oct. 1, 2023, to Sept. 30, 2024). This IUP shall remain effective until Sept. 30, 2024, or until such time as the FFY 2025 IUP becomes effective.

### **Cash flow model**

Missouri uses a cash flow model for the CWSRF.

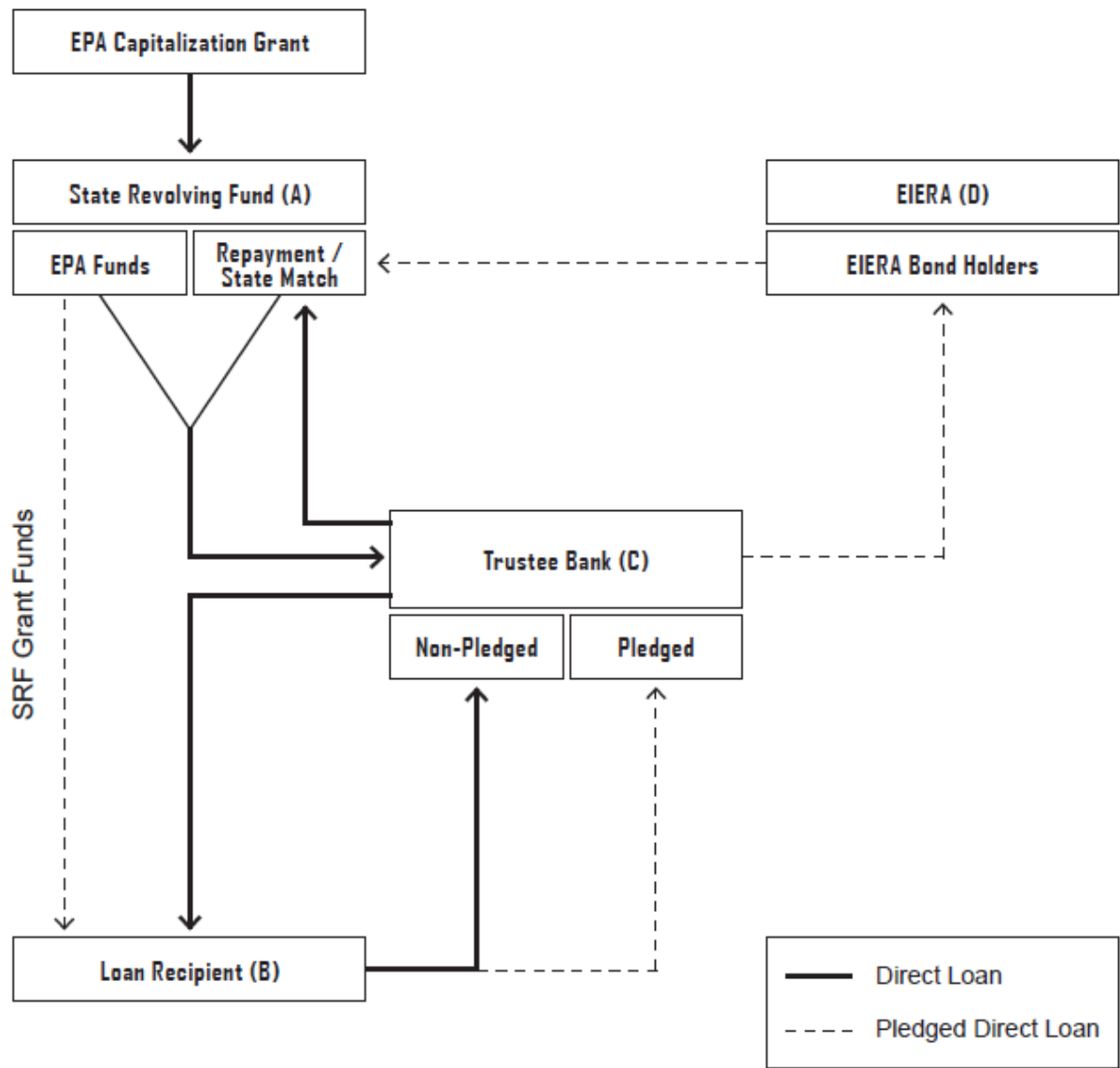
The cash flow model diagram on the following page illustrates the SRF flow of funds. Construction loan repayments must begin within one year after the first operational contract is substantially completed; that is, the facilities are placed into operation. The loan repayment schedules will generally consist of semi-annual interest payments and semi-annual or annual principal payments. The trustee bank holds the periodic participant repayments in separate recipient accounts outside the CWSRF. Interest earnings on these recipient accounts are credited to the communities' debt service account, which reduces the amount of interest to be paid by the communities.

The Department receives annual capitalization grants from EPA. There is a 20 percent state match required to receive the base capitalization grant and a 10 percent state match required to receive the general supplemental grant. The emerging contaminants grant does not require a state match. The funds are deposited into the SRF (A) and used in accordance with applicable federal and state program requirements. State match funds are disbursed prior to using capitalization grant funds.

Under the cash flow model loan program, the Department purchases the debt obligations of the participants directly. As construction progresses, funds are released from the CWSRF to the recipient (B) through the trustee bank (C) so the construction costs can be paid. Recipients of a grant receive the grant funds directly from the CWSRF program. Upon completion of the project, the loan total is adjusted to reflect the final amount borrowed.

Loan recipients send their loan principal and interest payments to the trustee bank (C). When the CWSRF program needs to replenish the repayment fund, the EIARA (D) exercises its authority to sell bonds, and the direct loans are pledged to retire the EIARA debt. The proceeds of this sale are deposited into the CWSRF repayment account. The principal and interest payments on the EIARA bonds are secured through the pledge of the direct loan principal and interest payments from previous CWSRF program participants. Any surplus principal that is not needed for the EIARA debt service is deposited into the repayment account. Any surplus interest that is not needed for EIARA state match debt service is deposited into the interest accumulation fund, which will be reserved for future state match through an EIARA state match bond sale.

# CWSRF Cash Flow Model





## Cross-collateralization of funds

The U.S. Department of Veterans Affairs, the U.S. Department of Housing and Urban Development, and the Independent Agencies Appropriations Act, 1999 (Public Law 105-276), authorized limited cross-collateralization between the Drinking Water State Revolving Fund (DWSRF) and the CWSRF. Cross-collateralization allows states to use CWSRF funds as security for bonds issued to finance DWSRF projects and vice versa. The cross-collateralization of the two funds may enhance the lending capacity of one or both SRFs. State statute 644.122, RSMo. provides the state's legal authority to implement cross-collateralization.

## Transfer loan funds between Drinking Water State Revolving Fund and Clean Water State Revolving Fund

Section 302 of the Safe Drinking Water Act Amendments of 1996 authorized the transfer of funds between the DWSRF and the CWSRF. The rules governing the transfer of funds limit the dollar amount a state can transfer to no more than 33 percent of a DWSRF capitalization grant. As funding is available and as needs arise, the Department can transfer loan funds with the approval of the Missouri Safe Drinking Water Commission, the Missouri Clean Water Commission, and EPA. Transfers between the two funds may enhance the lending capacity of one or both state revolving funds. State statute 644.122, RSMo. provides Missouri's legal authority to implement this transfer of funds.

No transfers are planned for FFY 2024.

### Current and recent transfers

| Fiscal Year | CWSRF          | DWSRF           |
|-------------|----------------|-----------------|
| 2013        | \$ 10,000,000  | (\$ 10,000,000) |
| 2013*       | \$ 18,500,000  | (\$ 18,500,000) |
| 2015        | (\$ 5,000,000) | \$ 5,000,000    |
| 2016        | (\$ 5,000,000) | \$ 5,000,000    |

\*Federal capitalization grant portion

The Department, with prior approval from the Missouri Safe Drinking Water Commission, the Missouri Clean Water Commission, and EPA, as appropriate, reserves the right to make additional transfers in the future.

BIL requirements only allow the transfer of funds between the specific BIL appropriations in the equivalent CWSRF or DWSRF program. In other words, states may only transfer funds between the CWSRF and DWSRF general supplemental capitalization grants and between the CWSRF and DWSRF emerging contaminants capitalization grants. Because there is no similar CWSRF appropriation to the DWSRF BIL lead service line replacement appropriation, no funds may be transferred from or to the DWSRF lead service line replacement appropriation. Transfers do not impact the state match calculation, the set-asides calculations in the DWSRF, or the administration and 2 percent technical assistance calculations in the CWSRF, which are based upon the original capitalization grant allotment for each SRF.

## Appendix 4: U.S. Environmental Protection Agency Requirements and Assurances

The Department receives a federal capitalization grant annually from the EPA and is required to provide a 0 to 20 percent state match, dependent on each capitalization grant. This appendix contains program commitments to assure the Department manages the CWSRF program in compliance with the capitalization grant agreements.

### Additional subsidization

The Clean Water Act allows the state to use SRF funds to provide additional subsidization for eligible projects in the form of grants, principal forgiveness, or negative interest loans. The FFY 2023 base capitalization grant mandates that states (1) must use 10 percent to provide additional subsidization to any CWSRF eligible recipient as initial financing for an eligible recipient or to buy, refinance or restructure the debt obligations of eligible recipients only where such debt was incurred after December 29, 2022; and (2) use at least 10 percent but no more than 30 percent to provide additional subsidization to any municipality that meets the Department's affordability criteria; municipalities that do not meet the Department's affordability criteria but seek additional subsidization to benefit individual ratepayers in the residential user rate class; or entities that implement a process, material, technique, or technology that addresses water or energy efficiency goals; mitigates stormwater runoff; or encourages sustainable project planning, design, and construction. The FFY 2023 general supplemental grant mandates that states use a flat 49 percent for additional subsidization to communities who meet the Department's affordability criteria and the FFY 2023 emerging contaminants grant mandates that states use 100 percent for additional subsidization.

The table below shows the amount of the additional subsidization the Department intends to offer in FFY 2024 based on the state's estimated allocation from the FFY 2023 CWSRF base, general supplemental, and emerging contaminants capitalization grants.

| Base Capitalization Grant Federal Fiscal Year Type | IUP Federal Fiscal Year | Amount            |
|--|-------------------------|-------------------|
| FFY 2020 Required Amount                           | FFY 2021                | \$1,669,689       |
| FFY 2020 Supplemental                              | FFY 2021                | Up to \$4,450,560 |
| FFY 2021 Required Amount                           | FFY 2022                | \$4,404,700       |
| FFY 2021 Supplemental                              | FFY 2022                | \$13,022,304      |
| FFY 2022 Required Amount                           | FFY 2023                | \$6,415,200       |
| FFY 2022 Supplemental                              | FFY 2023                | Up to \$6,415,200 |
| FFY 2023 Required Amount                           | FFY 2024                | \$4,159,000       |
| FFY 2023 Supplemental                              | FFY 2024                | \$4,159,000       |

| <b>Emerging Contaminant Capitalization Grant<br/>Federal Fiscal Year Type</b> | <b>IUP Federal Fiscal Year</b> | <b>Amount</b> |
|---|--------------------------------|---------------|
| FFY 2022 Required Amount  | FFY 2023                       | \$2,592,000   |
| FFY 2023 Required Amount  | FFY 2024                       | \$5,894,000   |

| <b>General Supplemental Capitalization Grant<br/>Federal Fiscal Year Type</b> | <b>IUP Federal Fiscal Year</b> | <b>Amount</b> |
|---|--------------------------------|---------------|
| FFY 2022 Required Amount  | FFY 2023                       | \$24,176,110  |
| FFY 2023 Required Amount  | FFY 2024                       | \$28,313,670  |

The Estimated Sources and Uses of Funds table and Fundable Project Lists in Appendix 1 provide detailed information on projects that may be eligible for this funding.

### **Green Project Reserve**

Federal law requires that the Department make a “good faith effort” to use a percentage of the total capitalization grants awarded, including annual CWSRF capitalization grants and BIL capitalization grants, for projects that address green infrastructure, water or energy efficiency improvements, or other environmentally-innovative activities. A summary of the total required amount from each capitalization grant appears below.

| <b>Federal Fiscal Year</b> | <b>Base Capitalization Grant Required Amount</b> | <b>General Supplemental Capitalization Grant Required Amount</b> | <b>Emerging Contaminants Capitalization Grant Required Amount</b> | <b>Total Green Project Reserve</b> |
|----------------------------|--|--|---|------------------------------------|
| 2010                       | \$11,296,600                                     | -  | -   | \$11,296,600                       |
| 2011                       | \$8,187,200                                      | -  | -   | \$8,187,200                        |
| 2012                       | \$3,917,900                                      | -  | -   | \$3,917,900                        |
| 2013                       | \$3,700,900                                      | -  | -   | \$3,700,900                        |
| 2014                       | \$3,886,800                                      | -  | -   | \$3,886,800                        |
| 2015                       | \$3,866,900                                      | -  | -   | \$3,866,900                        |
| 2016                       | \$3,703,900                                      | -  | -   | \$3,703,900                        |
| 2017                       | \$3,675,400                                      | -  | -   | \$3,675,400                        |
| 2018                       | \$4,449,500                                      | -  | -   | \$4,449,500                        |
| 2019                       | \$4,404,700                                      | -  | -   | \$4,404,700                        |
| 2020                       | \$4,405,300                                      | -  | -   | \$4,405,300                        |
| 2021                       | \$4,404,700                                      | -  | -   | \$4,404,700                        |
| 2022                       | \$3,207,600                                      | \$4,933,900  | \$259,200   | \$8,400,700                        |
| 2023                       | \$2,079,500                                      | \$5,778,300  | \$589,400   | \$8,447,200                        |

The Department has met or exceeded the requirements from Green Project Reserves for FFY's 2010 through 2020.

A table of the Green Project Reserve eligible FFY 2024 IUP projects appears below.

| Applicant                                   | Project #  | Category | Amount      |
|---|------------|----------|-------------|
| Springfield Stormwater                      | C295859-03 | GI       | \$2,240,942 |
| Little Blue Valley SD – MBC - C             | C295439-04 | EI       | \$9,561,350 |
| New Florence - C                            | C295844-01 | EE       | \$132,000   |
| Martinsburg - C                             | C295885-01 | EE       | \$363,913   |
| Iberia - C                                  | C295864-01 | EE       | \$1,210,000 |
| MSD Public I/I Reduction Program - Phase IX | C295023-44 | EE       | \$6,000,000 |
| Crocker                                     | C295926-01 | EE       | \$100,000   |
| Metropolitan Golf Foundation                | C295932-01 | GI/WE    | \$3,313,000 |

C - Carryover    EE - Energy Efficiency    EI - Environmentally Innovative    GI – Green Infrastructure    WE – Water Efficiency

Department staff work directly with applicants prior to funding to identify projects or components of projects that address green infrastructure, water or energy efficiency improvements, or other environmentally-innovative activities. The Department also solicits green project reserve projects through marketing events and webinars, granting additional priority points, allocating water quality incentive grant funds, and outlining the categories in the CWSRF loan application. The amount of Green Project Reserve-eligible projects may change as applications are received and projects proceed into the design phase.

Additional information regarding Green Project Reserve is available at [epa.gov/cwsrf/green-project-reserve-guidance-clean-water-state-revolving-fund-cwsrf](https://epa.gov/cwsrf/green-project-reserve-guidance-clean-water-state-revolving-fund-cwsrf).

## Administrative costs

The Department intends to use an amount from the FFY 2023 base capitalization grant equal to 1/5 of 1 percent of the current valuation of the fund for program administration and 4 percent of the general supplemental capitalization grant award for program administration.

## Public review and comment

Federal law requires SRF programs to prepare an annual IUP, including Project Priority Lists and Priority Point Criteria. The IUP describes how the Department intends to use the CWSRF funds to support the overall goals of the CWSRF program. The Department must place the draft IUP on public notice to allow for public review and comment. The Department holds a public hearing during the public comment period to allow interested parties to hear testimony from the Department on the draft plan and provide the public an opportunity to comment. The Department considers all written and verbal comments presented during the comment period, makes appropriate modifications, and provides a response to all comments. Any applicant aggrieved by their standing may appeal to the Clean Water Commission during the public comment process.

## **Environmental review**

Federal law requires SRF programs to subject projects receiving CWSRF funding to a state environmental review process that conforms generally to the National Environmental Policy Act. The Department's environmental review process, described within regulation 10 CSR 20-4.050, fulfills this requirement. The Department will determine whether an environmental impact statement is necessary during review of the project's environmental information document. Most projects are determined to have no significant impact or can meet a categorical exclusion. The Department will accept environmental determinations completed by other state and federal agencies on a case-by-case basis.

## **Federal project requirements**

A number of federal laws and executive orders apply to projects receiving federal financial assistance through the SRF program. Federal requirements that may apply to CWSRF participants include the Title VI of the Civil Rights Act of 1964, Davis Bacon Act, American Iron and Steel or AIS, Disadvantaged Business Enterprise, Environmental Review, Cost and Effectiveness, Public Awareness, Fiscal Sustainability Plans, Single Audit, various environmental statutes, the Uniform Relocation and Real Property Acquisition Policies Act, Debarment and Suspension Executive Order 12549, Prohibition on Certain Telecommunications and Video Surveillance or Equipment, restrictions on lobbying, and others. The Department has reviewed the Title VI of the Civil Rights Act of 1964 and is committed to ensuring projects receiving federal financial assistance through the CWSRF program comply with the Title VI requirements.

The Department does designate CWSRF projects as either equivalency (those projects funded with reimbursement attributable to the annual federal capitalization grants) or non-equivalency (those projects funded with reimbursement attributable to the repayments) for the purpose of differentiating federal requirements that apply. Build America, Buy America (BABA) Act provisions contained in BIL will only apply to those projects the Department designates as equivalency projects.

Applicants allocated additional subsidization in the form of grants are subject to cross-cutting federal requirements not applicable to those receiving other forms of additional subsidy, such as a loan with principal forgiveness or a negative interest rate. Grant recipients must adhere to pertinent sections of 2 CFR Part 200 as it relates to subrecipients as outlined in EPA's memo dated July 13, 2022, entitled *Understanding State Revolving Fund Additional Subsidy as a Grant*. Key provisions include those related to subaward procurement in 2 CFR 200.317 through 2 CFR 200.327 and subaward monitoring in 2 CFR 200.331 through 2 CFR 200.333. A complete listing of requirements that apply to SRF projects is available upon request from the Department.

## **Binding commitments**

The Department intends to enter into binding commitments for a minimum of 120 percent of each EPA grant payment into the CWSRF within one year of the receipt of each payment, as required by federal law.

## **Expenditure of funds**

The Department intends to expend all funds in the CWSRF in an expeditious and timely manner, as required by federal law.

### **Anticipated cash draw ratio (proportionality)**

Missouri uses the cash flow model of the CWSRF. The federal capitalization grant is not used as security on the state match bonds. State match funds are disbursed prior to using capitalization grant funds.

### **For more information**

For more information, contact the Department's Financial Assistance Center at 573-751-1192 or [fac@dnr.mo.gov](mailto:fac@dnr.mo.gov).

# Appendix 5: Clean Water State Revolving Fund Priority Points Criteria

## General Information

The CWSRF Priority Points Criteria are established to evaluate proposed CWSRF projects for FFY 2025. The Priority Points Criteria forms the basis for project ranking and funding allocation.

The Department annually prepares a CWSRF IUP that includes projects expected to qualify for financing within the fiscal year addressed by the plan. Projects are listed so that those addressing the most serious problems are given the highest priority. Each project's priority score is generated from assignment of points based on the Priority Points Criteria. Projects are then ranked in priority order in each funding category. Only those proposed projects identified within the plan's project lists are eligible to receive financial assistance.

The Department will seek public comments annually on the proposed Priority Point Criteria. The Priority Point Criteria will then be approved by the Missouri Clean Water Commission at least 60 days before the annual application deadline.

## Assignment of Priority Points

The Department ranks eligible projects for funding based on the protection of water quality and human health. Proposed projects receive points based on how they address pollution abatement, treatment, regionalization or consolidation, nonpoint source pollution reduction, and more.

Projects are ranked by the total number of points received. In the event of a tie, the projects receiving the highest number of points under Disadvantaged Community (section I.3.A.) will receive the higher ranking. If the projects are still tied, the applicant with the lowest Median Household Income according to the current decennial census will receive the higher ranking.

Priority point assignment and listing in the IUP does not guarantee all SRF financial and project eligibility requirements have been met.

## I. Priority Points

The Department will calculate cumulative priority points for each potential project based on the following seven sections. Proposed nonpoint source projects must be consistent with the current *Missouri Nonpoint Source Management Plan* available at <https://dnr.mo.gov/document-search/missouri-nonpoint-source-management-plan-update-2020-2025>.

- 1. Water Quality.** Points will be assigned if the proposed project will maintain, improve, protect, or enhance the overall water quality within the watershed. For the purpose of assigning points under factors A and B below, the receiving water is considered the immediate water course into which the discharge flows. However, in those cases where the immediate receiving water is not classified in Water Quality Standards, 10 CSR 20-7.031, a downstream classified water body will be considered to be the receiving water if the publicly-owned treatment works (POTW) discharge or nonpoint source area is within two miles of the classified water found in the Missouri Use Designation Dataset, including Presumed Use Lakes and Presumed Use Streams.

- A. Designated Uses.** Designated uses, identified in rule 10 CSR 20-7.031, of the water body receiving discharge from existing POTWs or nonpoint source areas that will be improved or eliminated by the proposed project. The Department calculates designated use points by

adding the total value from each designated use under this part. If the project affects multiple permitted facilities that discharge to different water bodies, the highest designated use point total from one of the multiple water bodies will be used.

1. Fifteen points for whole body contact recreation (Category A or B)
2. Fifteen points for drinking water supply
3. Ten points for secondary contact recreation
4. Ten points for cold water habitat
5. Eight points for cool water habitat
6. Five points for each designated use not identified in numbers 1-5 above:  
(Warm Water Habitat, Human Health Protection, Industrial Water Supply, Irrigation, Livestock and Wildlife Watering, etc.)

**B. Sensitive Waters.** Proposed projects that will improve or eliminate existing POTWs or nonpoint source areas that directly discharge to or discharge within two miles upstream of certain sensitive waters identified in rule will be assigned additional priority points.

1. Fifteen points for a losing stream as designated by the Missouri Geological Survey, see 10 CSR 20-7.031(1)O
2. Fifteen points for Outstanding National or State Resource Waters, see 10 CSR 20-7.031 (Table D & E)
3. Ten points for lakes or reservoirs, see 10 CSR 20-7.031 (Table G) or for metropolitan no-discharge streams, see 10 CSR 20-7.031 (Table F)

**C. Targeted Water Bodies.** A targeted water body is one in which a Total Maximum Daily Load (TMDL) has been promulgated or the water body is listed as a Category 4 and 5 impaired water on the most recent Missouri Integrated Water Quality Report (also known as §305(b) Report). The value is limited to a maximum of 15 points total.

1. Fifteen points where a TMDL has been promulgated for the receiving water body and the proposed project addresses the impairment
2. Ten points if the receiving water body is listed as impaired on the most recent Missouri Integrated Water Quality Report and the proposed project addresses the impairment

**D. Targeted Watersheds.** A targeted watershed contains at least one point source with the reasonable potential to cause or contribute to an excursion of the Lake Numeric Nutrient Criteria, and at least one point source with nutrient effluent limits or subject to an EPA approved TMDL. The value is limited to a maximum of fifteen points total.

1. Fifteen points if the watershed drains to a lake or reservoir where numeric nutrient criteria or nutrient effluent limits are applicable and the proposed project results in nutrient reduction
2. Ten points where a TMDL has been approved for the watershed and the proposed project is expected to contribute to the pollutant reduction goals specified in the TMDL



**E. Regionalization or Consolidation.** Projects that involve several independent entities forming a partnership to share the responsibilities of providing wastewater treatment may be referred to as regionalization or consolidation projects.

1. Twenty-five points if the entity owning the facility being eliminated would be deemed grant eligible by the methodology prescribed by the CWSRF Affordability Grant Eligibility Evaluation (<https://dnr.mo.gov/media/file/clean-water-state-revolving-fund-grant-eligibility-evaluation-form-mo-780-2854>)
2. Fifteen points if the proposed project serves more than two entities (e.g., more than the facility receiving the waste and the entity decommissioning their facility)
3. Ten points for each permitted or should be permitted wastewater treatment facility being eliminated that is under Department or EPA enforcement
4. Five points for each permitted or should be permitted wastewater treatment facility that is not under Department or EPA enforcement and will be eliminated by the proposed project

**F. Emerging Contaminants.** Refers to substances and microorganisms, including manufactured or naturally occurring physical, chemical, biological, radiological, or nuclear materials, which are known in the environment, that may pose newly identified or re-emerging risks to human health, aquatic life, or the environment. These can include compounds such as personal care products, pharmaceuticals, industrial chemicals, pesticides, and microplastics. Projects that address contaminants with §304(a) water quality criteria, except for per- and polyfluoroalkyl substances (PFAS), are not eligible for points.

1. Twenty points if addressing known PFAS with construction of treatment or storage facilities
2. Fifteen points if addressing other known emerging contaminants as defined in EPA's *Implementation of the Clean Water and Drinking Water State Revolving Fund Provisions of the Bipartisan Infrastructure Law*, Attachment 1, Appendix B ([https://www.epa.gov/system/files/documents/2022-03/combined\\_srf-implementation-memo\\_final\\_03.2022.pdf](https://www.epa.gov/system/files/documents/2022-03/combined_srf-implementation-memo_final_03.2022.pdf)) with construction of treatment or storage facilities
3. Ten points if conducting monitoring and planning activities to identify scope and magnitude of contamination due to suspected emerging contaminants from known industrial uses or other contamination sources within an applicant's sewershed with the goal of identifying future treatment alternatives

**2. Publicly Owned Treatment Works (POTW).** Points will be awarded if the proposed project is a POTW project that will address potential or existing water pollution problem(s).

**A. Combined/Sanitary Sewer Overflows.** Fifteen points will be assigned if the proposed project will eliminate or adequately treat combined or sanitary sewer overflows (CSOs/SSOs). Applicants must provide supporting documentation, which may include copies of SSO Database records, clean-up records, or other supporting documentation, with the application for the Department to award CSOs/SSOs points.

**B. Wastewater Treatment Enhancement.** The value is derived from selecting the most appropriate description and associated value.

1. Twenty points for the conversion of a discharging wastewater treatment facility to a no-discharge wastewater treatment facility
2. Fifteen points for the construction of a new wastewater treatment facility, an increase in capacity, or an increase in the level of treatment at an existing wastewater treatment facility
3. Ten points for the rehabilitation or process improvement of an existing wastewater treatment facility

**C. Failing Onsite Wastewater Treatment System**

1. Ten points for primarily addressing a documented surface water quality, groundwater water quality, or public health problem attributable to onsite wastewater treatment systems that are failing or not properly functioning. Documentation must be provided by any local, county, or state health or environmental professional, or
2. Five points for primarily addressing failing or not properly functioning onsite wastewater treatment systems (no documentation required)

**D. Collection System Enhancement**

1. Fifteen points for collection system rehabilitation to reduce or eliminate inflow or infiltration
2. Ten points for a new collection system, or the expansion of or an upgrade to an existing collection system

**3. Sustainability.** Points will be awarded if the proposed project addresses fiscal and maintenance sustainability utilizing the factors below.

**A. Disadvantaged Community.** The Department will assign fifteen points if the applicant meets all three criteria below:

1. A population of 3,300 or less based on the most recent decennial census;
2. A median household income (MHI) at or below 75 percent of the state MHI using the most recent decennial data as conducted by the U.S. Census Bureau or by an income survey overseen by a state or federal agency; and
3. The average wastewater bill, also known as the user charge, for 5,000 gallons is at least two percent of the MHI of the applicant.

**B. Median Household Income (MHI).** The Department will use the following criteria to determine an applicant's MHI based on the most recent decennial data from the U.S. Census Bureau or an income survey provided by the applicant and overseen by a state or federal agency. The survey must be four years or less in age as of the March 1 application deadline. The applicant's current (at the time of application) user rate ordinance must be included with the application.

For cities, towns, and villages with a single treatment and collection system for their jurisdiction, the Department will use the MHI of the entire incorporated municipality based on the political boundary.

For cities, towns, and villages with multiple treatment and collection systems within their jurisdiction, the Department will use MHI values from one or multiple census tracts to calculate the MHI as an arithmetic mean (average). That arithmetic mean will be the value used to establish the priority points outlined below. The geographic area of each treatment facility's collection system, also known as its sewershed, or similar project area where construction is to occur as well as the area benefiting from the proposed project will dictate which census tracts to use.

For public water or sewer districts and counties, the Department will use one or multiple census tract data in a similar way as the municipalities with multiple treatment and collection systems outlined directly above.

Utilizing census tract data in this manner allows the Department to assign priority points accurately for systems serving areas that have disparate MHI data across a large service area.

1. Twenty points if the applicant's current wastewater user charge for five thousand (5,000) gallons is at least two percent of its MHI; or
2. Ten points if the applicant's current wastewater user charge for five thousand (5,000) gallons is at least 1.50 percent and less than two percent of its MHI.
3. Ten points if the applicant's MHI is at or below 75 percent of the state MHI

**C. Inflow and Infiltration Reduction Program.** Ten points will be assigned if the applicant has maintained an inflow and infiltration reduction program for the past five years.

**D. Master Plan.** Five points will be assigned if the applicant's project is specifically identified in a capital improvement plan or an integrated management plan.

**4. Green Project Reserve.** Thirty points will be assigned if the proposed project is for one or more of the following eligible green project reserve components:

- A. Green Infrastructure.** Practices that manage wet weather and maintains and restores natural hydrology by infiltrating, evapotranspiring and harvesting, and using stormwater. On a regional scale, it is the preservation and restoration of natural landscape features, such as forests, floodplains and wetlands, coupled with policies such as infill and redevelopment that reduce overall imperviousness in a watershed. On the local scale, it consists of site-and-neighborhood specific practices, such as bioretention, trees, green roofs, permeable pavements, and cisterns.
- B. Water Efficiency.** The use of improved technologies and practices to deliver equal or better services with less water. Water efficiency encompasses conservation and reuse efforts, as well as water loss reduction and prevention, to protect water resources for the future.
- C. Energy Efficiency.** The use of improved technologies and practices to reduce the energy consumption of water quality projects, use of energy in a more efficient way, and/or produce or utilize renewable energy.
- D. Environmentally Innovative.** Projects include those that demonstrate new and/or innovative approaches to delivering services or managing water resources in a more sustainable way.

5. **Untreated/Uncontrolled Runoff.** Stormwater runoff from agricultural, suburban, and urban areas such as farms, homes, buildings, roads, or parking lots resulting in flooding of local streams, erosion of stream banks, or increased pollutant transport.
- A. **Stormwater Treatment/Management Facility.** Ten points for a structural device designed to receive stormwater runoff and detain it for a period of time in order to reduce pollutant transport and stream erosion.
  - B. **Landfills.** Ten points to address water quality issues at a landfill. A landfill is any site where the disposal of non-hazardous wastes and/or sludge occurs or has occurred by placing them in or on the land, compacting, and covering with a layer of soil. Project components may include a capping system, leachate collection system, side slope seepage prevention and control system, or monitoring wells that are needed to prevent water quality degradation.
  - C. **Best Management Practice (BMP).** Five points for BMP conservation measures that protect water quality and make land areas more productive.
6. **Groundwater Pollution.** Projects that prevent contamination of groundwater resources.
- A. **Groundwater Uses.** The designated uses of the groundwater area being impacted by nonpoint source pollution.
    - 1. Fifteen points if the groundwater is a drinking water supply source; or
    - 2. Five points if the groundwater is used for industrial purposes, irrigation, and/or livestock/wildlife watering.
  - B. **Leaking Petroleum Storage Tank.** Five points if addressing groundwater problems caused by leaking petroleum storage tanks.
  - C. **Hazardous Waste Site.** Ten points if addressing groundwater problems caused by a hazardous waste site that is participating in the Department's Voluntary Cleanup Program.
  - D. **Inadequate Landfill Leachate Collection/Treatment.** Ten points if addressing groundwater problems caused by inadequate landfill leachate collection and treatment.
7. **Aquatic/Riparian Habitat.** Aquatic/riparian habitat is a vegetated or potentially vegetated ecosystem along a water body through which energy, materials, and water pass thereby providing nutrient recycling and biological diversity. Ten points will be assigned if the primary purpose of the proposed project is to restore aquatic/riparian habitat and/or to prevent aquatic/riparian habitat degradation.

## II. Special Priority Points

The Clean Water Commission (Commission) may assign special priority and override the priority points assigned to a project and place that project on the planning, fundable, or contingency priority lists in a position decided by the Commission. In order to award special priority, the Commission must determine that unique or unusual needs exist which do not logically fit into the rating system described above. In addition, the Commission may award special priority for projects impacting enterprise zones as authorized under state law.

### III. Definitions

1. **Increase capacity.** Increasing the treatment capacity for existing treatment plants, biosolids handling facilities, decentralized treatments systems, and nonpoint source project BMPs with respect to flow or pounds.
2. **Increase level of treatment.** Improving the degree of treatment. This refers to any improvement in unit processes or BMPs that improve the effluent quality or decrease the concentration of most water quality variables from runoff or other nonpoint sources. The addition of nutrient removal is considered an improvement in effluent quality.
3. **Rehabilitation.** Restoring, replacing, adding, or repairing parts to existing treatment plants, combined or separate sewer systems, biosolids handling facilities, individual onsite wastewater systems, and nonpoint source project BMPs with no increase in capacity or level of treatment.
4. **Replacement.** An existing facility is considered obsolete and is demolished, and a new facility is constructed on the same site.
5. **Process improvement.** Any improvement to a facility that does not increase the capacity, increase the level of treatment, expand the service area, or make a similar change to existing treatment plants, biosolids handling facilities, decentralized treatment systems, and nonpoint source project BMPs.

# Appendix 6: Clean Water State Revolving Fund Affordability Grants

## Purpose

This guidance document provides a uniform and consistent approach to evaluating Clean Water State Revolving Fund (CWSRF) grant eligibility based on affordability, in a manner that meets federal requirements. The *Clean Water State Revolving Fund Affordability Grant Eligibility Evaluation Form* provides the Department of Natural Resources Financial Assistance Center (FAC) with a method to identify eligible applicants that would have difficulty financing their proposed clean water infrastructure project without additional subsidization. To reach portions of larger communities and districts with affordability challenges, the Department will utilize data based on one or multiple census tracts.

## Authority

The Water Resources Reform and Development Act of 2014 (WRRDA) included an amendment to Federal Water Pollution Control Act (FWPCA) Section 603(i) that changed additional subsidization implementation for states.

1. Section 603(i) provides the CWSRF program with the permanent authority to provide a certain percentage of its total capitalization grant award as additional subsidization under the circumstances outlined in statute. The U.S. Environmental Protection Agency determines, per Congressional authorization and appropriation, the annual minimum and maximum amount of the state's CWSRF capitalization grant available for additional subsidization.
2. Missouri's CWSRF provides additional subsidization as grant funding. Section 603(i) identifies eligible grant recipients as a municipality or intermunicipal, interstate, or state agency.
3. Section 603(i) explains that additional subsidization may only be provided to eligible recipients for the following:
  - to benefit a municipality that meets the state's affordability criteria as established under Section 603(i)(2);
  - to benefit a municipality that does not meet the state's affordability criteria but seeks additional subsidization to benefit individual ratepayers in the residential user rate class; or
  - to implement a process, material, technique, or technology that addresses water or energy efficiency goals; mitigates stormwater runoff; or encourages sustainable project planning, design, and construction.
4. Section 603(i) requires states to develop affordability criteria to identify applicants that would have difficulty financing their proposed clean water infrastructure project without additional subsidization. The affordability criteria must include the applicant's income, unemployment data, population trends, and other data determined relevant by the State.

## **State Regulation 10 CSR 20-4.040**

FAC will award CWSRF grant funding based on the project's affordability as determined by the *Clean Water State Revolving Fund Affordability Grant Eligibility Evaluation Form*, a project's priority point ranking, and the availability of grant funding. The Department offsets each grant dollar awarded by a corresponding reduction in the project's loan and reduces the overall statewide loan funds allocated to the current federal fiscal year Intended Use Plan (IUP) projects by an equal amount.

Because of the limited nature of grant funds, eligible applicants are municipalities and publicly owned facilities such as sewer districts. Affordability Grant funds available to each eligible applicant will not exceed the lesser of \$2 million dollars; 55 percent of the eligible project costs; or grant funds available to award under the current year's IUP.

### **Process**

FAC will use the process described within this document to determine CWSRF Affordability Grant eligibility. FAC will prioritize all eligible applicants for grant funding by the project's priority points.

### **Clean Water State Revolving Fund Loan Application**

The *Clean Water State Revolving Fund Loan Application* is due March 1 of each year. It is available online at <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-loan-application-mo-780-1951>. FAC will first evaluate the application for completeness, readiness-to-proceed, and eligibility. An application must include a complete facility plan, documentation of an acceptable debt instrument, and any additional funding commitments from other state and/or federal agencies. If the project is eligible, FAC will calculate priority points for ranking on the CWSRF IUP. FAC will also complete a *Clean Water State Revolving Fund Affordability Grant Eligibility Evaluation Form* available online at <https://dnr.mo.gov/media/file/clean-water-state-revolving-fund-grant-eligibility-evaluation-form-mo-780-2854> to determine grant eligibility.

### **Clean Water State Revolving Fund Affordability Grant Eligibility Evaluation Form**

The criteria included in the *Clean Water State Revolving Fund Affordability Grant Eligibility Evaluation Form* includes population, unemployment rate, Median Household Income (MHI), proposed user rate as a percentage of MHI, poverty level, and population trend. If a proposed user rate is unknown, FAC may use the current user rate or a rate calculated based on proposed project costs to determine eligibility.

FAC will utilize the most current publicly available 5-year American Community Survey (ACS) data gathered by the U.S. Census Bureau because it is the most comprehensive source for municipalities and counties in the State of Missouri, periodically updated, and available on the U.S. Census Bureau website ([www.census.gov/programs-surveys/acs/](http://www.census.gov/programs-surveys/acs/)). The only data the evaluation form requires that is not publicly available is the applicant's proposed user rates, which is required information on the *Clean Water State Revolving Fund Loan Application*.

If the applicant believes that the ACS data utilized to determine MHI does not accurately reflect their demographics, the applicant may submit an income survey. The applicant may contact the Department for instructions on how to conduct an income survey. The Department will also accept income surveys approved or deemed approvable by the U.S. Department of Agriculture Rural

Development or Missouri Department of Economic Development's Community Development Block Grant programs. The income value from the survey will replace only the reported MHI in the *Clean Water State Revolving Fund Affordability Grant Eligibility Evaluation Form*.

FAC will use the evaluation form to enter the applicant's data and select the applicable statement in each category. Each statement has a given point value, and the form will total points based on input. When completed, the form will give the applicant's affordability criteria score. A higher affordability score equates to higher need for assistance. A lower score indicates a lower need for assistance. Applicants who score 195 points (66 percent of the total points possible) or more will be eligible for a CWSRF Affordability Grant.

If a municipality such as a city has only one wastewater treatment facility or stormwater utility for its service area, FAC will use data based on the political boundary of the city. When an entity has more than one wastewater treatment facility or stormwater utility in its service area or if information specific to the applicant is not available (e.g., sewer districts), FAC will use county or census tract data from each wastewater treatment facility's collection system geographic area (also known as its sewershed) or stormwater utility service area to determine eligibility. For example, if a district proposes to complete improvements on one of three wastewater treatment facilities within its service area, FAC will compile the census tract information for the sewershed of that one facility. If more than one facility is part of a district's application, then FAC will collect information on all census tracts for all the respective sewersheds. Although county or census tract data does not offer an exact representation of the sewershed area, it is the most readily available data to the FAC.

In the event an applicant's sewershed encompasses multiple census tracts, FAC will utilize the applicant's stated sewershed or service area population and calculate an arithmetic mean or average for the rest of the categories based on each census tract.

### **Clean Water Intended Use Plan Grant Commitment**

The FAC will prioritize funds based on those applications with the greatest number of priority points. When grant funds are available, FAC publishes the proposed funding commitments during the IUP public comment period. FAC will continue to allocate until grant funds are no longer available or until all eligible applicants have grant funds allotted to them, whichever comes first.

Applicants with allocated grant funds will have two years from the date of IUP adoption to utilize the funds. In the event the loan and grant are not awarded within this timeframe, the applicant will need to re-compete for both the loan and grant funds by re-applying (i.e., new evaluation form based on current ACS data at time of re-application). The Department may recommend the Commission remove a project from the Fundable List when it is not making timely progress, in order to make the committed funds available to another project that is ready to proceed. The Commission may move projects removed from the Fundable Priority List to the Contingency or Planning Priority Lists. Bypass procedures are outlined in 10 CSR 20-4.040(29)(C).

Affordability grants may be reduced if other sources of funding, such as Community Development Block Grants, are secured that result in the CWSRF project costs being reduced below eligibility thresholds.



## Links

- *Clean Water State Revolving Fund Loan Application:* <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-loan-application-mo-780-1951>
- *Clean Water State Revolving Fund Affordability Grant Evaluation Form:* <https://dnr.mo.gov/media/file/clean-water-state-revolving-fund-grant-eligibility-evaluation-form-mo-780-2854>
- American Community Survey (ACS) by the U.S. Census Bureau: [www.census.gov/programs-surveys/acs/](http://www.census.gov/programs-surveys/acs/)

# Appendix 7: Clean Water State Revolving Fund

## Engineering Report Grants

The Department accepts applications throughout the year. The application form and instructions are available online at <https://dnr.mo.gov/document-search/clean-water-engineering-report-grant-application-mo-780-2217>.

### Purpose

The purpose of this funding is to assist small communities with engineering costs to plan for wastewater treatment and collection systems improvements related to:

- New permit requirements;
- Inflow and infiltration;
- Improvements to eliminate wet weather discharges from a peak flow clarifier and/or basins;
- Capacity and hydraulic improvements at the wastewater treatment plant to address a reasonably anticipated increase in users or connections (rather than for excessive inflow and infiltration or speculative growth); and/or
- Wastewater treatment and/or collection systems that have reached or exceeded their useful life expectancy.

Funding comes from the CWSRF capitalization grant's additional subsidization allocation.

### Eligible applicants

The grant is available for municipalities, counties, public sewer or water districts, political subdivisions, or instrumentalities of the state serving a population equal to or less than 10,000 that operate a wastewater treatment facility that is either permitted or should be permitted by the Department or a satellite wastewater collection system.

In order to be eligible, the applicant must: (1) submit a complete application; (2) have no outstanding fees due to the Department; (3) not already have an engineering report or facility plan for the same issues; and (4) agree to make a good faith effort to pursue recommendations contained in the approved facility plan.

### Selection Process

The Department prioritizes applications on a first-come, first-served basis as long as funds remain available.

### Description

Eligible systems may receive an 80 percent grant with a 20 percent recipient match, not to exceed a maximum grant amount of \$50,000.

Eligible systems that meet the definition of a disadvantaged community at the time of application may receive up to 100 percent of the costs for engineering report services, not to exceed a maximum grant amount of \$62,500. The Department defines a disadvantaged community as one that has a population of 3,300 or less based on the most recent decennial census, whose median household income (based on the most recent decennial census or by an income survey overseen by a state or federal agency) is at or below 75 percent of the state average, and whose user rates at the

time of application are at or above two percent of the median household income<sup>2</sup> (based on the most recent decennial census or by an income survey overseen by a state or federal agency).

### **Grant Timeframe**

It is important that any community who wishes to apply for this funding opportunity submit their application early in the project planning process. Early application and communication with the Department on each step are imperative to ensure the project meets all state and federal funding requirements. Facility plan projects that the applicant has already started or completed are not eligible for funding through this program.

Once awarded the grant, the recipient has 18 months to complete the facility plan and have it accepted or approved by the Department. The Department will hold the final 10 percent of the grant funds until it has accepted or approved the report. The recipient must submit the completed facility plan to the Department for review at least 90 days prior to the end of the budget period of the award. This ensures adequate time is allowed for a response to any comments. No expenses may be incurred by the recipient after the budget period has expired without an amendment to the grant.

Funding provided under this program shall only be used as reimbursement of expenses for services provided during the project's budget period. Therefore, recipients should wait for official notice from the Department after the grant is awarded to initiate work under this grant in order to ensure all costs incurred are reimbursable.

### **Cost Eligibility**

Eligible costs are contracted professional services incurred in the development of a facility plan, which include:

- The cost of engineering services, environmental investigations, and other services incurred in preparation of the facility plan that will meet the Missouri Clean Water Law requirements and grant requirements;
- Other items deemed reasonable, necessary, and allocable to the project, such as an Antidegradation Review, Inflow and Infiltration Study, Pretreatment Program, and/or Soils Report, if required for the facility plan to be deemed complete;
- Reasonable and cost effective; and
- Within the Department-approved scope of the project.

Ineligible costs include, but are not limited to:

- A facility plan or engineering services completed prior to the award.
- Preparation of the facility plan application.
- Costs outside the scope of the Department-approved project.
- Costs incurred outside the approved project period.
- Ordinary operating expenses of the recipient including salaries and expenses of elected and appointed officials, preparation of routine financial reports and studies, and the state operating permit fees or other such permit fees necessary for the normal operation of the constructed facility.

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<sup>2</sup> When calculating the user rate as compared to MHI, round to the thousandth of a number (3 digits beyond the decimal point). For example, a value of 1.9994% does not meet the requirement of at least 2%, but 1.9995% does.

- Preparation of applications and permits required by federal, state, or local regulations or procedures.
- Preparation of applications for future funding for work following the facility plan.
- Administrative, engineering, and legal activities associated with the establishment of special departments, agencies, commissions, regions, districts, or other units of government.
- Fines and penalties.
- Force account labor (use of the grantee's own labor force) including engineering.

# Appendix 8: Clean Water State Revolving Fund

## Integrated Management Plan Grants

The Department accepts applications throughout the year. The application form and instructions are available online at <https://dnr.mo.gov/document-search/clean-water-integrated-management-plan-grant-application-mo-780-2956>.

### Purpose

The purpose of this funding is to assist small and medium communities with planning and engineering costs to develop integrated management plans for municipal wastewater and stormwater management, and may include drinking water management.

Integrated management plans assist municipalities to achieve the human health and water quality objectives of the Missouri Clean Water Law (MCWL) and the federal Clean Water Act (CWA) by identifying efficiencies in implementing requirements that arise from distinct wastewater and stormwater programs, including how to best make capital investments. Integrated planning does not remove obligations to comply with the MCWL and CWA, nor does it lower existing regulatory or permitting standards. However, it does recognize that there are flexibilities in the MCWL and CWA that allow for the appropriate prioritization and sequencing or scheduling of work.

Integrated management plans developed with this funding must follow the U.S. EPA's "Integrated Municipal Stormwater and Wastewater Planning Approach Framework" available at <https://www.epa.gov/npdes/integrated-municipal-stormwater-and-wastewater-planning-approach-framework> and Missouri's Integrated Planning Framework at <https://dnr.mo.gov/document-search/missouri-integrated-planning-framework-pub2684/pub2684>.

Funding comes from the CWSRF capitalization grant's additional subsidization allocation.

### Definitions

1. **Permitted wastewater treatment facility** – A domestic wastewater treatment facility that is required to have a Missouri State Operating Permit issued by the Department.
2. **Regulated Municipal Separate Storm Sewer System (MS4)** – A municipality that holds a stormwater permit as determined by the Department per 10 CSR 20-6.200(1)(D)24.
  - a. A MS4 which serves a population of one thousand (1,000) or more within an urbanized area, or any MS4 located outside of an urbanized area serving a jurisdiction with a population of at least ten thousand (10,000) and a population density of one thousand (1,000) people per square mile or greater, or
  - b. A MS4 which is designated by the department when it is determined that the discharges from the MS4 have caused or have the potential to cause an adverse impact on water quality. An application shall be submitted within one hundred eighty (180) days of the designation by the department.

### Eligible applicants

The grant is available for municipalities, counties, public sewer or water districts, political subdivisions, or instrumentalities of the state that (1) operate a permitted wastewater treatment facility serving a population of less than 20,000 and (2) owns/operates a permitted Municipal

Separate Storm Sewer System (MS4), as defined in 10 CSR 20-6.200, or has significant stormwater challenges (unrelated to inflow and infiltration) that require capital planning. If the community has a public drinking water system, the community may consider this utility in the development of the integrated management plan. If the drinking water system is included, the integrated management plan must also meet the obligations of the Missouri Safe Drinking Water Law, Sections 640.100 – 640.140, RSMo.

In order to be eligible, the applicant must: (1) submit a complete application; (2) have no outstanding fees due to the Department; (3) not already have an integrated management plan; and (4) agree to make a good faith effort to pursue recommendations contained in the approved integrated management plan. If a co-permitted MS4, the community must submit the application with a letter of support from other permittees to assure appropriate coordination in the preparation of the integrated management plan.

### **Selection Process**

The Department prioritizes applications based on a first-come, first-served basis as long as funds are available.

### **Description**

Eligible applicants may receive an 80 percent grant with a 20 percent recipient match, not to exceed a maximum grant of \$80,000. Eligible applicants meeting affordability criteria may receive a 100 percent grant, not to exceed a maximum grant amount of \$100,000.

### **Grant Timeframe**

The *Integrated Management Plan Grant Application* is due March 1 of each year. Early communication with the Department on each step is imperative to ensure the project meets all state and federal funding requirements. Integrated management plans that the applicant has already started are not eligible for funding through this program.

Once awarded the grant, the recipient has 24 months to complete the integrated management plan, submit the plan to the Department's Operating Permits Section for regulatory review, and receive acceptance from the Financial Assistance Center for final payment. The Department will hold the final 10 percent of the grant funds for cost reimbursement until (1) the Financial Assistance Center accepts the plan for final payment and (2) the recipient submits the plan to the Department's Operating Permits Section for regulatory review. The applicant must submit the complete integrated management plan to the Department for review and approval at least 90 days prior to the end of the grant budget period. This ensures adequate time for the applicant to respond to Financial Assistance Center comments. The Department *does not* expect the plan to have permitting staff concurrence or a memorandum of understanding signed within the 24-month timeframe. The Department will not reimburse expenses incurred after budget period expiration without an approved grant amendment.

Grant funds provide reimbursement of Integrated Management Plan development expenses incurred during the project's budget period. Therefore, in order to ensure all costs incurred are reimbursable, do not proceed with plan development until you receive an official notice from the Financial Assistance Center after grant award to initiate work funded through this grant.

## **Cost Eligibility**

Eligible costs are contracted professional services directly attributable to the development of an integrated management plan consistent with the EPA's "Integrated Municipal Stormwater and Wastewater Planning Approach Framework" and the MCWL.

Eligible costs are:

- Reasonable and cost effective,
- Within the Department-approved scope of the project, and
- May include items such as engineering services, Geographic Information System mapping, environmental investigations, financial reviews, inflow and infiltration studies, pretreatment program evaluation, regionalization evaluation, Combined Sewer Overflow studies, and stormwater studies.

Ineligible costs include, but are not limited to:

- A plan or engineering services completed prior to the award.
- Preparation of the grant application.
- Costs outside the scope of the department-approved project.
- Costs incurred outside the approved project period.
- Ordinary operating expenses of the recipient including salaries and expenses of elected and appointed officials, preparation of routine financial reports and studies, and the state operating permit fees or other such permit fees necessary for the normal operation of the constructed facility.
- Preparation of applications and permits required by federal, state, or local regulations or procedures.
- Preparation of applications for future funding for work following the integrated management plan.
- Administrative, engineering, and legal activities associated with the establishment of special departments, agencies, commissions, regions, districts, or other units of government.
- Fines and penalties.
- Force account labor (use of a grantee's own labor force) including engineering.

# **Appendix 9: Clean Water State Revolving Fund Regionalization Incentive Grants**

## **Purpose**

This guidance document provides the Missouri Department of Natural Resources' Financial Assistance Center (FAC) with a uniform and consistent approach to soliciting, evaluating, and awarding a Clean Water State Revolving Fund (CWSRF) Regionalization Incentive Grant (RIG).

## **Authority**

The Department of Natural Resources competitively solicits and prioritizes use of CWSRF on an annual basis. The Federal Water Pollution Control Act (or Clean Water Act, CWA) allows the state to provide a portion of CWSRF as financial assistance in the form of additional subsidization (i.e., grants, principal forgiveness, or negative interest loans).

The Department has the opportunity to offer CWSRF grants for purposes of affordability and water quality improvements. The Water Resources and Development Act of 2014 included an amendment to Section 603(i)(1)(B) of the CWA that allows the CWSRF program to provide a certain percentage of its total capitalization grant award as additional subsidization to a municipality to implement a process, material, technique, or technology to encourage sustainable project planning, design, and construction. The Department utilizes this authority to offer the CWSRF RIG.

The Department determines the amount of capitalization grant that will be allocated to additional subsidization each year based on federal appropriation and Missouri's CWSRF program needs. The annual additional subsidization amount is documented in the CWSRF Intended Use Plan (IUP), and approved by the Clean Water Commission. Each year, the Department's first priority for available CWSRF additional subsidization will be to provide grants based on affordability, in conjunction with a low-interest loan, to municipalities repairing, replacing, or improving their own wastewater and stormwater infrastructure.

Applications for the CWSRF RIG must be submitted by March 1 each year and meet the criteria established in this guidance to be considered for priority placement on the upcoming year's CWSRF IUP. The Department will competitively score applications using a procedure established within this guidance document (see "Prioritization Process").

## **Intent**

The Department encourages regionalization where practical, especially projects involving small entities with affordability challenges. This funding opportunity is intended to provide municipalities with an incentive to construct connections for small, struggling facilities who currently discharge effluent to Missouri waterways. The entities responsible for these small facilities often lack the financial and technical resources to upgrade their wastewater treatment facilities to meet more stringent limits and operate their facilities appropriately. These facilities typically serve such a small number of connections that the cost to comply with permit conditions is a significant financial challenge for the users.

The primary focus of the grant is on incentivizing projects that would not be completed without this funding and reducing the number of small facilities that are currently under or likely to come under



enforcement action with the Department. Grant results will include a reduction in the number of point sources releasing pollutants to the State's waterways, increased operating efficiency, and opportunities for economic development.

## **Definitions**

1. **Applicant** – The municipality proposing to build a connection or connections for the purpose of receiving and treating wastewater from another facility or facilities outside of its political boundary or defined service area. Facilities owned or operated by a for-profit utility company regulated by the Public Service Commission are excluded from this definition.
2. **Connecting entity** – An existing discharging wastewater treatment facility that is permitted or should be permitted by the Department that the applicant proposes to provide wastewater treatment after construction of a conveyance (e.g., sewer extension).
3. **Municipality** – As defined by 40 CFR 35.2005(27), a “city, town, borough, county, parish, district, association, or other public body (including an intermunicipal agency of two or more of the foregoing entities) created under State law, or an Indian tribe or an authorized Indian tribal organization, having jurisdiction over disposal of sewage, industrial wastes, or other waste, or a designated and approved management agency under Section 208 of the Act [CWA].”
  - a. This definition includes a special district created under state law such as a water district, sewer district, sanitary district, utility district, drainage district or similar entity, or an integrated waste management facility, as defined in Section 201(e) of the CWA, which has as one of its principal responsibilities the treatment, transport, or disposal of domestic wastewater in a particular geographic area.
  - b. This definition excludes any revenue producing entity which has as its principal responsibility, an activity other than providing wastewater treatment services to the general public, such as an airport, turnpike, port facility, or other municipal utility.
4. **Permitted wastewater treatment facility** – A domestic wastewater treatment facility that is required to have a Missouri State Operating Permit issued by the Department.
5. **Private wastewater treatment facility** – A domestic wastewater treatment facility owned by a Homeowner's Association (HOA), an individual, a mobile home park, etc. that does not generate profits for the owner. Facilities owned or operated by a for-profit utility company regulated by the Public Service Commission are excluded from this definition.
6. **Satellite community** – A municipality that transports or sends its wastewater flow to another municipality for treatment of its wastewater.

## **Eligibility**

Certain municipalities (see “Definitions” section of this document) in Missouri who have capacity to accept and treat wastewater from proposed connection(s) are eligible to apply for this grant. The applicant must document that their receiving wastewater system has adequate collection and treatment capacity to accept the additional wastewater based on hydraulic (average flow and peak flow) and organic (pollutant) loading per 10 CSR 20-8.110(3). The applicant will be the recipient of all grant funds. Facilities to be eliminated by the proposed connection cannot apply as the

applicant. Satellite communities cannot apply as the applicant since the municipality does not have the ability to treat the accepted flow, nor does the municipality have the authority to document available capacity to treat the additional flow.

### **Eligible Costs**

This grant will fund 100 percent of all eligible costs as outlined in the application. Grant amounts will not be increased after placement on the IUP. Applications should include updated costs and appropriate contingency amounts to account for future project costs. Examples of eligible costs include planning, designing, and constructing the sewer connection (with documentation of proper procurement of engineering services per §§ 8.285–8.291 of the Revised Statutes of Missouri (RSMo) by the applicant), applicant’s legal costs associated with negotiation and execution of a service agreement, and land acquisition or easements acquired according to the Uniform Relocation Assistance and Real Property Acquisition Act of 1970. Cost associated with condemnation are not eligible for reimbursement. The costs of decommissioning the connecting entities’ wastewater treatment facilities are eligible when the facility to be decommissioned is a publicly owned facility, as there are federal limitations on these funds [40 CFR 35.3125(c)]. See 10 CSR 20-4.040(21)(B) for specific cost eligibility information.

Connection fees charged by the applicant to the connecting entity are not an eligible cost. The applicant is encouraged to waive such fees since the grant provides 100 percent of construction costs.

Per CWA Section 602(b)(13), in order to be funded through the CWSRF, projects must be cost effective. The Department will compare the cost for the construction of the proposed connection with the estimated cost to repair, replace, or upgrade the wastewater treatment facility that is to be eliminated. The applicant’s facility plan should estimate the cost to repair, replace, or upgrade the wastewater treatment facility that is being connected if it is a publicly owned facility. Estimated cost for privately owned facilities may be provided by consultation with Department engineering staff. Any connection project with a total estimated cost that is 110 percent or greater than the cost to upgrade the facility will be deemed ineligible.

Per CWA Section 204(a), projects will only be deemed eligible if the size and capacity of such works relate directly to the needs to be served by such works, including sufficient reserve capacity. Projects designed for potential development are not eligible.

Facility plans or construction projects that the applicant has already started or completed are not eligible for funding through this program. Applicants must wait until funding is awarded before proceeding with plans or projects.

### **Application Procedure**

Applications for the CWSRF Regionalization Incentive Grant must be submitted by March 1 each year and meet the criteria established in this guidance to be considered for priority placement on the upcoming year’s CWSRF IUP. An applicant may apply for funds to:

1. Develop a facility plan (if one has not already been completed) or
2. Design and construct the connection that will convey wastewater effluent from the connecting entity’s system to the applicant’s wastewater collection system or treatment plant.

The application may be accessed at <https://dnr.mo.gov/document-search/clean-water-state-revolving-fund-regionalization-incentive-grant-application-mo-780-2881>. Applications must be signed by both the applicant and the owner(s) of the wastewater facility(ies) to be connected by the regionalization grant, ensuring all parties have a mutual interest in the regional connection prior to the commitment of funds. The applicant and owner(s) of the connecting entity(ies) must possess the technical, managerial, and financial capability for the ownership, operation, and maintenance of the system(s) for at least 20 years following the grant award to be considered for grant eligibility.

### **Application Processing**

Applications postmarked by or received electronically on March 1 will be date stamped and logged. The FAC will review all applications for completeness, eligibility, and distance of the sewer connection. Applications must be complete in order to be included for prioritization. The maximum distance that will be considered for proposed projects is five miles from the applicant's collection system to the facility to be connected. Applications for connections greater than five miles may be evaluated on a case-by-case basis at the Department's discretion.

### **Priority Determination**

The Department will prioritize applications using a 2-step process that assigns a category and a priority point score (see CWSRF Regionalization Incentive Grant Application Prioritization Scoring on page 70).

First, the Department will assign each eligible project a category. The Department will assign high priority to projects that eliminate facilities in Category 1; medium priority to projects that eliminate facilities in Category 2; and low priority to projects that eliminate facilities in Category 3.

- Category 1:** The entity (or entities) the applicant proposes to connect is a private, municipal, or school wastewater treatment facility, which is outside of the applicant's political boundary or defined service area, and is under enforcement with the Department or the U.S. Environmental Protection Agency.
- Category 2:** The entity (or entities) the applicant proposes to connect is a public (i.e., municipal or school) wastewater treatment facility, which is outside of the applicant's political boundary or defined service area, is not under enforcement, and has a Schedule of Compliance in their permit to upgrade for more stringent limits.
- Category 3:** The entity (or entities) the applicant proposes to connect is a private wastewater treatment facility, which is outside the applicant's political boundary or defined service area, is not under enforcement, and has a Schedule of Compliance in their permit to upgrade for more stringent limits.

Second, the Department will prioritize projects within each category based on priority points. The Department will assign priority points to each application based on the characteristics of the facility or facilities being eliminated, including the following:

1. "Designated Uses," "Sensitive Waters," and "Targeted Waterbodies" of the receiving water body(ies) of the facility(ies) to be eliminated. If the project eliminates multiple facilities that discharge to different water bodies, the receiving water body with the highest point total will be used.
2. Need for regionalization for each wastewater treatment facility to be eliminated by the proposed project in the following categories: "under Department enforcement," "not under

Department enforcement but has current Schedule of Compliance to meet more stringent permit limits,” and “not under Department enforcement.” Facilities designated “not under Department enforcement” include facilities that are operating in compliance with their permit and facilities in noncompliance that do not have Schedules of Compliances in their permits.

3. Elimination of discharging facilities with a Missouri State Operating Permit or facilities that should have a Missouri State Operating Permit, not onsite septic or lagoon facilities permitted under the authority of the Department of Health and Senior Services. Onsite septic or lagoon facilities may be connected to the applicant’s facility, but these connection(s) must be made using another funding source.
4. Readiness-to-proceed, if the applicant submits a design and construction application accompanied by a complete facility plan and/or executed negotiated service agreement(s) for the facility or facilities listed in the application. The service agreement must include the Department’s “Minimum Service Agreement Requirements” (see below) to be eligible for the service agreement points.
5. Financial need of the connecting entity<sup>3</sup>, primarily utilizing its Median Household Income (MHI) in relation to the State’s MHI. If multiple entities are being connected, the MHI will be determined by using the average of all the connecting facilities’ MHIs, weighted by the current number of connections. Department staff will utilize the 5-year American Community Survey (ACS) data gathered by the U.S. Census Bureau ([www.census.gov/programs-surveys/acs/](http://www.census.gov/programs-surveys/acs/)). When census information specific to the applicant is not available (e.g., sewer districts, private facilities, etc.) and a survey has not been conducted, staff will reference the census tract or county’s ACS data, whichever best represents the area. If the applicant believes that the ACS data does not accurately reflect the demographics of the area, the applicant may submit an income survey conducted using a Department-directed methodology (available upon request) or an income survey approved or deemed approvable by the U.S. Department of Agriculture Rural Development or Missouri Department of Economic Development’s Community Development Block Grant programs. If provided, the income value from the survey will replace the census MHI in the Department’s evaluation.
6. Applicants who have had a prior or current Drinking Water or Clean Water State Revolving Fund loan.

When completed, the Department will sum the points to provide the applicant’s priority score, and rank applications first by category and then by score.

### **Federal and State Requirements**

A number of federal and state laws and executive orders apply to projects receiving federal financial assistance through the CWSRF. Federal requirements that may apply to recipients include the Davis Bacon Act, American Iron and Steel, Disadvantaged Business Enterprise, Environmental Review, Cost and Effectiveness, Public Awareness, Fiscal Sustainability Plans, Single Audit, various environmental statutes, the Uniform Relocation and Real Property Acquisition Policies

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<sup>3</sup> The Department may request additional documentation about the financial situation of the facility or facilities to be connected in order to fully and accurately assess financial need.

Act, Debarment and Suspension, Executive Order 12549, prohibition on certain telecommunications and video surveillance or equipment, restrictions on lobbying, and others.

Applicants assigned grant funds will receive instructions from the Department for all CWSRF requirements that must be met in order to receive funding.

Applicants and connecting entities must also comply with any applicable state laws, such as the hearing and public notice procedures for establishing user charges in accordance with Section 250.233, RSMo.

### **Grant Assignment/Intended Use Plan Listing**

The Department will list applicant projects in priority order within each category, and will allocate grant funds to qualifying applicants, starting with Category 1 projects assigned the highest priority point totals. The Department will allocate funds in descending order through the grant priority list until all annually available grant funds have been allocated or until all eligible applicants have grant funds allocated to them, whichever comes first. However, if the available funds are less than the eligible project cost for any given project, the Department will bypass the project and allocate funds to the next project for which funds are sufficient. The number of applicant(s) selected each application cycle will vary based on available funds. The Department also reserves the right to use its discretion to bypass higher scoring applications with lower scoring applications, if necessary, to protect human health and the environment.

The Department will provide the applicant written notification that the grant funds are obligated to the project upon Clean Water Commission (CWC) approval of the CWSRF IUP. Upon notification of the funding commitment, applicants must meet the following schedule in order to utilize grant funds:

1. Facility Plan – 15 months from the CWC approval date to procure engineering services and develop a facility plan, including conducting an environmental review if the selected alternative is regional connection. Upon submittal of a complete facility plan, pending sufficient available additional subsidization funds, the project will automatically be added to either the contingency or fundable list of the IUP during the next application review cycle (not through IUP amendment).
2. Design and Construction – Two years from the CWC approval date to navigate the CWSRF project approval process (environmental review,<sup>4</sup> design, bidding, submittal of compliance forms, etc.), receive the grant award, and begin construction of the selected alternative. Construction grant funds must be spent within three years of CWC approval. For example, if the CWC approves of a project in the FFY 2024 IUP, the applicant has until expiration of the FFY 2025 IUP to begin construction and expiration of FFY 2026 IUP to complete construction and expend all grant funds.
  - a. Projects will be placed on the Fundable List when the applicant has a complete facility plan and a signed service agreement(s) with the connecting entity(ies).
  - b. Projects will be placed on the Fundable Contingency List when the applicant has a complete facility plan but has not entered into formal service agreement(s) with the

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<sup>4</sup> If an applicant applies for RIG design and construction grant funds with a self-funded facility plan that does not already have an environmental review, then an environmental review must be conducted during this phase.

connecting entity(ies). The applicant will have one year listed on the Fundable Contingency List to reach an agreement. If after one year a formal agreement(s) cannot be reached by the applicant and all connecting entity(ies), the project will be removed from funding consideration.

### **CWSRF Grant-Funded Facility Plans**

Upon completion of the facility plan, the grant recipient or grant recipient's engineer will submit the facility plan to the Department. The Department will review and comment on the facility plan. Once all comments are addressed, the engineer must submit a completed Cost and Effectiveness form (see <https://dnr.mo.gov/document-search/state-revolving-fund-cost-effectiveness-certification-form-mo-780-2660>). The Department will review the proposed project's cost and effectiveness and will either:

1. Concur that the connection alternative project is the most cost effective and provide the applicant with directions for seeking environmental clearance letters, as well as place the project on the upcoming year's IUP for construction if funds are available; or
2. Not concur that the project is the most cost effective and notify the applicant that the Department cannot fund the construction of the project. The applicant may then choose to self-fund the project and proceed without the grant funds.

Failure to make timely progress may result in project bypass and/or loss of grant funding. In this event, the applicant will need to re-compete for grant funds by re-applying during the next application cycle. The Department may remove projects from a funding list on the IUP at the request of the applicant, if the Department finds that the proposed project is ineligible for CWSRF assistance, or if the Department determines that the project is not making timely progress.

### **Minimum Service Agreement Requirements**

1. User rates and fees (wholesale or per connection)
  - a. Negotiated and agreed upon user rates
  - b. Negotiated and agreed upon fees (if applicable)
  - c. User rates must be fair and equitable
    - i. Should be proportional and based on actual use
  - d. Clause explaining when rates and fees may be renegotiated, and explain the basis for rate and fee (if applicable) increases
  - e. Explain how rates and fees (if applicable) will be invoiced and collected
  - f. Describe any penalties for unpaid rates and fees (if applicable)
2. Operation and maintenance responsibilities will be clearly established
3. The agreement duration must be at least 20 years. Per 10 CSR 20-4.040(25)(C), if the agreement is terminated prior to 20 years, grant funds must be reimbursed to the state on a 20-year straight-line depreciation schedule based on the original grant award. Grant funds to be reimbursed shall be due upon termination of the agreement.

4. The municipality and connecting entity(ies) must agree to one of the following scenarios:
  - a. Scenario 1
    - i. Municipality agrees to:
      1. Own, operate, and maintain its portion of the collection system, including the newly constructed sewer extension
      2. Provide service for the duration of the agreement (may require ordinance changes)
    - ii. Connecting entity(ies) agrees to:
      1. Own, operate, and maintain its portion of the collection system
      2. Connect and remain connected for the duration of the agreement
      3. Require any new development in the entity's control to connect (i.e., if currently undeveloped lots in a Home Owners Association's (HOA) subdivision are later developed, the HOA must require these homes to connect, rather than build their own individual or shared treatment system. This may require HOA covenant changes.)
  - b. Scenario 2
    - i. Municipality agrees to:
      1. Own, operate, and maintain its collection system as well as the newly constructed sewer extension, and operate and maintain the connecting entity's collection system
      2. Provide service for the duration of the agreement (may require ordinance changes)
    - ii. Connecting entity(ies) agrees to:
      1. Own its portion of the collection system for the duration of the project (i.e., from planning and design through completion of construction grant requirements)
        - a. If desired and agreed upon by all involved, transfer of ownership and easements of a connecting entity's collection system to the municipality may only occur after the grant is closed and can occur before the 20-year service agreement ends
      2. Connect and remain connected for the duration of the agreement
      3. Require any new development in the entity's control to connect (i.e., if currently undeveloped lots in a Home Owners Association's (HOA) subdivision are later developed, the HOA must require these homes to connect, rather than build their own individual or shared treatment system. This may require HOA covenant changes.)
5. Right to access/easements
6. (Private facilities only) Certify that responsibility for cost to decommission or properly close wastewater treatment facilities will be addressed by connecting entity

## **Additional Items to Consider when Negotiating Service Agreement**

1. Availability for future connections
  - a. Identify potential capacity for future connections
  - b. Define a process and schedule for future connections (if applicable)
  - c. Address cost to connect
    - i. Tap on fees (if applicable)
    - ii. Change in wholesale rate (if applicable)
2. Basic communication requirements (i.e., provide examples of topics to cover)
3. Compliance and reporting responsibilities and requirements
  - a. Which entity is responsible for reporting Sanitary Sewer Overflows
4. Rates and fees
  - a. Notice period prior to rate change
  - b. Negotiation/mediation procedures in the event disagreements cannot be resolved by the involved parties
5. Waste loadings
  - a. Permissible versus prohibited wastes
  - b. Pretreatment
6. Current and future Infiltration and Inflow impacts
7. Responsibility for future capital costs
8. Requirement for each entity to maintain a functional governing body that is able to meet all contractual obligations for the duration of the agreement

## **Facility Plan Requirements**

1. Must be prepared in accordance with 10 CSR 20-8.110, Engineering – Reports, Plans, and Specifications
2. Must assess and verify applicant's downstream capacity of sewers, pump stations, wastewater treatment, and solids handling unit(s) from the point of connection on the basis of peak flow, average flow, and organic (pollutant) loading given reasonable anticipated growth
3. Discuss the existing infrastructure within facility(ies) to be connected
4. Discuss any easement(s) and/or land acquisition(s) that are anticipated as part of the proposed regionalization project
5. Discuss the project including a base project and alternate project(s) (connecting additional facilities) if applicable, and the cost benefit of the connection



6. Discuss project costs
  - a. Any easement(s) and/or land acquisition(s)
  - b. Comparison of alternatives (including operation and maintenance and estimated present worth):
    - i. Upgrading the facility proposed to be connected
    - ii. Land application
    - iii. Regionalization
  - c. Closure or alternative use of facility's existing WWTF
  - d. Total project cost. For projects proposing to connect multiple facilities, the facility plan must be presented as a base project (minimum desired project) with add-on projects for each additional facility due to the uncertainty of available funds.
  - e. Operation and maintenance of the proposed collection line and any additional costs associated with the flow at the plant
7. Discuss Cost and Effectiveness Analysis
  - a. If the most direct route is not taken to construct the connection to the facility, provide an explanation of why the most direct route is not the most cost effective
  - b. Cost and Effectiveness Certification Form
8. Project Schedule
9. A Plan of Study per 10 CSR 20-4.040(27)

**CWSRF Regionalization Incentive Grant  
Application Prioritization Scoring  
(To be completed by Department staff)**

Applicant: \_\_\_\_\_

SAM.gov Unique Entity Identifier #: \_\_\_\_\_ Received Date: \_\_\_\_\_

Project Name: \_\_\_\_\_

Project Description: \_\_\_\_\_

**Project Qualifications**

Is the facility (or facilities) to be connected within five miles of applicant's collection system?

Yes ☐ No ☐

Is the proposed project primarily for existing development and not primarily for future development?

Yes ☐ No ☐

Is the applicant/project eligible?

Yes ☐ No ☐

**Required Information**

☐ Project Summary

☐ Need for the project

☐ Maps or drawings showing the location

☐ Authorized Rep. Ordinance/Resolution

☐ Application signed by both Authorized Rep. and Owner(s) of system(s)

**Priority Determination**

For all categories: The applicant is a municipality. Applicants may submit an application without a facility plan and be awarded an engineering grant for the development of a facility plan.

**Category 1:** The entity (or entities) the applicant proposes to connect is a private, municipal, or school wastewater treatment facility, which is outside of the applicant's political boundary or defined service area, and is under enforcement with the Department or the U.S. Environmental Protection Agency.

**Category 2:** The entity (or entities) the applicant proposes to connect is a public (i.e., municipal or school) wastewater treatment facility, which is outside of the applicant's political boundary or defined service area, is not under enforcement, and has a Schedule of Compliance in their permit to upgrade for more stringent limits.

**Category 3:** The entity (or entities) the applicant proposes to connect is a private wastewater treatment facility, which is outside of the applicant's political boundary or defined service area, is not under enforcement, and has a Schedule of Compliance in their permit to upgrade for more stringent limits.

No. of facility(ies) to be eliminated in each Category:    1 \_\_\_\_\_    2 \_\_\_\_\_    3 \_\_\_\_\_

**Priority Points:** For items 1-3: If the project eliminates multiple permitted WWTFs that discharge to different water bodies, then the highest point total from one of the multiple water bodies will be used.

1. **Designated Uses** of the water body receiving discharge from existing permitted or unpermitted Wastewater Treatment Facility(ies) (WWTFs) to be eliminated by the proposed project (Sum values expressed under this part)

*Points*

Cold Water Habitat = 10 pts. \_\_\_\_\_

Cool Water Habitat = 8 pts. \_\_\_\_\_

Drinking Water Supply = 15 pts. \_\_\_\_\_

Whole Body Contact Recreation (A or B) = 15 pts. \_\_\_\_\_

Secondary Contact Recreation = 10 pts. \_\_\_\_\_

Additional uses not listed above and identified in 10 CSR 20-7.031 = 5 pts. each  
(Warm Water Habitat, Human Health Protection, Industrial Water Supply,  
Irrigation, Livestock and Wildlife Watering, etc.) \_\_\_\_\_

2. **Sensitive Waters.** Existing permitted or unpermitted WWTF(s) to be eliminated, which directly discharge to or discharge within two miles upstream of certain sensitive waters (Sum values expressed under this part)

Losing Streams = 15 pts. \_\_\_\_\_

Outstanding National or State Resource Waters = 15 pts. \_\_\_\_\_

Lakes or Reservoirs = 10 pts. \_\_\_\_\_

Metropolitan No-discharge Streams = 10 pts. \_\_\_\_\_

3. **Targeted Waterbodies.** The receiving water body is listed as impaired in Category 4 and 5 on the most recent Missouri Integrated Water Quality Report (also known as the §305(b) Report) (No more than 15 points shall be awarded)

Impaired and removal of point source addresses impairment but a TMDL has not been approved = 10 pts. \_\_\_\_\_

TMDL approved and removal of point source addresses impairment = 15 pts. \_\_\_\_\_

4. **Targeted Watersheds.** At least one point source with the reasonable potential to cause or contribute to excursion of lake numeric nutrient criteria or nutrient effluent limits, or subject to an U.S. Environmental Protection Agency approved nutrients TMDL (No more than 15 points shall be awarded)

The watershed drains to a lake or reservoir where numeric nutrient criteria or nutrient effluent limits are applicable and the proposed project results in nutrient reduction = 15 pts. \_\_\_\_\_

TMDL approved for the watershed and the proposed project is expected to contribute to the nutrient reduction goals specified in the TMDL = 10 pts. \_\_\_\_\_

5. **Need for Regionalization (exclude all Dept. of Health and Senior Services permitted facilities)**  
Each WWTF eliminated that is under enforcement with the Department

No. Eliminated \_\_\_\_\_ X 20 pts. = \_\_\_\_\_

Each WWTF eliminated that does not currently have a Missouri State Operating Permit but should and is not currently under Department enforcement

No. Eliminated \_\_\_\_\_ X 15 pts. = \_\_\_\_\_

Each WWTF eliminated that has a Schedule of Compliance in the permit to meet more stringent limits and not currently under Department enforcement

No. Eliminated \_\_\_\_\_ X 10 pts. = \_\_\_\_\_

Each WWTF eliminated that is not under Department enforcement

No. Eliminated \_\_\_\_\_ X 5 pts. = \_\_\_\_\_

**6. Readiness-to-Proceed**

Municipality has an executed, negotiated service agreement meeting Department minimum requirements with the facility(ies) to be eliminated = 25 pts.  
(All facility(ies) to be connected must have an agreement at time of application to award points)

\_\_\_\_\_

Facility plan has already been developed for the facility(ies) proposed to be eliminated and is less than five years old = 25 pts.  
(Must be submitted with application to award points)

\_\_\_\_\_

**7. Financial Need** of the facility being connected determined by the facility's MHI compared to the state's MHI determined by ACS data. If multiple facilities are being connected, the MHI will be determined by using the weighted average of all the facilities' MHI in respect to the facilities' current number of connections.

MHI <50% of State's MHI = 50 pts.

\_\_\_\_\_

MHI 50% to <75% of State's MHI = 25 pts.

\_\_\_\_\_

MHI 75% to 100% of State's MHI = 10 pts.

\_\_\_\_\_

MHI >100% of State's MHI = 0 pts.

\_\_\_\_\_

**8. Successful Loan**

Applicant has/had a successful CW or DW SRF Loan = 10 pts

\_\_\_\_\_

**Total Points:**

Tie Breaker(s): In the event that there is a tie in priority points within a category, the Department will use the following tie breakers starting with No. 1 below. If tie breaker No. 1 does not break the tie, the Department will move down the list of other tie breakers (as necessary) until the tie is broken.

1. Number of connecting entities whose discharges will be eliminated =

\_\_\_\_\_

2. Total number of connections of all connecting entities =

\_\_\_\_\_

3. Total flow that will be diverted to the applicant's treatment works =

\_\_\_\_\_

(Flow will be based on the connecting facility(ies) permitted design flow(s). The flow from all unpermitted facility(ies) will be considered as 0.)

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**Financial Assistance Center**

P.O. Box 176 • Jefferson City, MO 65102-0176  
573-751-1192 • [fac@dnr.mo.gov](mailto:fac@dnr.mo.gov) • [dnr.mo.gov](http://dnr.mo.gov)